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ABSTRACT

This workbook is designed to build or improve the basic planning skills needed by persons responsible for program planning in alcohol service agencies. An understanding of the generic planning process in the development or expansion of community alcoholism-realted services can be acquired through the use of this guide. The workbook attempts to lead participants to define and identify examples of all four components in the planning process; i.e., assessment, program design, implementation, and evaluation. The workbook also leads participants to use the planning process on a given community problem within a simulatd community. This skill is then applied to an action plan for a problem area identified in advance by the participant. (Author/PJC)

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Participant Workbook

Planning Alcoholism Services

CG013537

U. S. Department of Health, Education, and Welfare • Public Health Service • Alcohol, Drug Abuse, and Mental Health Administration

Training Program Information

Purpose: To build or improve the basic planning skills needed by persons responsible for program planning in alcohol service agencies.

Goals: Participants will learn a generic program planning process and apply it by developing a preliminary plan for addressing a problem identified by the participant and his/her supervisor prior to the training program.

Course Materials: *Participant Workbook* is for use by participants during training and as a reference afterward. For the trainer, the Participant Workbook is also a primary resource in preparing for delivery of the program. It contains both essential subject matter and session exercises.

Trainer Manual includes background material for trainer preparation, training program evaluation materials, and masters for handouts and overhead transparencies to be used in the course.

Session Outline Cards are used by the trainer to guide the presentation of each session. They provide concise coverage of key questions or points to be raised, as well as the sequence, time, materials, and equipment for each activity. They are compact and easy to handle during course presentation.

Audience: This training program is designed for staff in existing service agencies who are responsible for planning the development or expansion of programs responsive to community alcoholism service needs. The audience for this program could include either administrative or clinical staff whose effectiveness depends upon acquisition or improvement of basic skills in systematic planning for community alcoholism services.

The course looks at community problems and suggests a framework for their resolution. It does not deal with the logistic or organizational aspects of program development.

Participant Prerequisite: As a prerequisite, each applicant must submit an alcoholism service related problem identified in conjunction with his/her supervisor. Work on application of planning skills to participant problems is the basis of the training program.

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PARTICIPANT WORKBOOK

Planning Alcoholism Services

A Basic Course in Assessment, Program Design, Implementation, and Evaluation

developed by
National Center for Alcohol Education

U.S. Department of Health, Education, and Welfare
Public Health Service
Alcohol, Drug Abuse, and Mental Health Administration

National Institute on Alcohol Abuse and Alcoholism
5600 Fishers Lane
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1978

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Preface

Planning Alcoholism Services: A Basic Course in Assessment, Program Design, Implementation, and Evaluation was developed by the National Center for Alcohol Education in conjunction with a team of practicing alcoholism counselors and trainers employed by the Division on Alcoholism and Drug Abuse, West Virginia Department of Mental Health, and by a private agency. The West Virginia team specified the major activities and behaviors required for developing community programs to expand or augment alcoholism services. These activities and behaviors were then verified by a sample of West Virginia counselors and supervisors as well as by a national panel of prominent alcoholism counselors and counselor educators. These two groups identified the need for community program development skills, although they did not designate them as intrinsic to the counselor role, which the West Virginia Division does. That is, the State of West Virginia mandates that alcoholism counselors in its employ are to divide their time about equally between counseling and community program activities.

Among the team and the panel members there was agreement that the possession of generic planning skills was essential to the development and expansion of community alcoholism services. Under the direction of Helen L. K. Farr, Ph.D., project manager for the National Center for Alcohol Education, center staff drafted a Participant Workbook containing basic reference information on the planning process and exercises for the training program, as well as a Trainer Manual containing a step-by-step guide for trainers to use in conducting the learning activities. Following revisions in both documents based on suggestions from the West Virginia team and three reviewers working in or closely related to community alcoholism programs, the training program was pilot tested in West Virginia, Tennessee, and Minnesota. The materials have been revised since the pilot test to reflect evaluation findings, site observations, comments for trainers and participants, and three additional reviewers. One such revision was the preparation of Session Outline Cards to facilitate the trainer's delivery of sessions.

Special acknowledgement is expressed here to the members of the West Virginia team, selected by Raymond E. Washington, Director, Division on Alcoholism and Drug Abuse, West Virginia Department of Mental Health, for their contributions to the development and pilot testing of *Planning Alcoholism Services: a Basic Course in Assessment, Program Design, Implementation, and Evaluation:*

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Training Program Overview

Training Program Goals

The participants will understand and be able to apply a generic planning process in the development or expansion of community alcoholism-related services

By the completion of the training program, participants will be able to:

- define and identify examples of all four components in the planning process; i.e., assessment, program design, implementation, and evaluation;
- define and identify examples of all the major activities in each of the four components of the planning process;
- use the planning process on a given community problem within a simulated community; and
- apply the planning process skills covered in this training program to an action plan for a problem area identified in advance by the participant and his/her supervisor.

Session One: Introduction and Welcome

Synopsis: An atmosphere is established to foster learning by providing an opportunity for the participants and training staff to become acquainted. Participants will become familiar with the goals, objectives, content, and sequence of the training program and begin to explore how a planning process can assist them in developing alcoholism services. (Training program evaluation data may also be gathered.)

Objectives: Participants will:

- become familiar with the purposes and objectives of the training program, and
- establish a workable accommodation between their expectations and what is being offered in the training program.

Session Two: Planning and Community Involvement

Synopsis: This session focuses on the importance of involving various segments of the community in planning for the development or expansion of alcoholism services. A list of the major activities by which a planner can further such involvement is presented for review by the participants. After a brief consideration of which activities might apply to their back home problems, the participants name the kinds of individuals and groups they expect to involve in working on their problems. As an outcome of this activity, the use of the term "community" as the context for exercises in this training program is clarified. Finally, the participants perform the Broken Squares exercise, which illustrates in an experiential way the importance of coordinating resources in a team or community effort.

Objectives: Participants will:

- identify two essential reasons for being aware of the community when planning for alcoholism services;
- cite at least two common difficulties in eliciting community cooperation on alcoholism service programs;
- list at least three kinds of individuals or groups in the community they will probably want to work with on activities to establish or expand alcoholism services; and
- specify a crucial ingredient for making certain that necessary community resources are used both effectively and efficiently.

Session Three: Assessment: Stating the Problem

Synopsis: This session provides participants with an overview of all the major steps involved in carrying out a systematic needs assessment. Participants are introduced to a detailed description of the first major step in community assessment: identifying and describing a problem in a concise problem statement. They apply what they have learned by writing problem statements related to a simulated community situation, and to the "back home problem" they brought to the training program.

Objectives: Participants will:

- given a possible problem area from a simulated community, apply the first major step of a needs assessment to identify in clear and precise language at least one specific and distinct problem in the possible problem area; and
- apply the session learnings to their back home problem.

Session Four: Assessment: Collecting Data About the Problem

Synopsis: Session Four helps the participants understand and carry out the second major step in assessment, collecting data about a specific problem. Participants will focus on the kinds of information needed to determine the extent of the problem(s) and on ways to identify sources from which the information can be extracted.

Objectives: Participants will:

- describe the kinds of data required to adequately address a specific problem;
- identify kinds of sources from which the information can be extracted; and
- spell out ways the needed information can best be collected.

Session Five: Assessment: Analyzing the Data for Decisions

Synopsis: This session completes work on the assessment component of the planning process and marks the transition to the second component, program design. Participants learn how to analyze data from a simulated community so that problems can be ranked and dealt with through decisive and coordinated action. Participants continue to work on their back home problems.

Objectives: Participants will:

- list three necessary steps in analyzing the collected data; and
- identify at least three bases for setting priorities and making decisions about problems.

Session Six: Program Design: Setting Goals

Synopsis: This session introduces the program design component of the planning process. Participants learn how to formulate goal statements that are responsive to the need(s) of the target group identified during the assessment phase and selected for action. The session emphasizes that goals are outcome or result statements and not activity statements. It lays the groundwork for the specification of concrete program objectives.

Objectives: Participants will:

- given problem statements based on the simulated community, write goal statements according to training program criteria; and
- write a goal statement responsive to their back home problem statements as formulated in the assessment sessions.

Session Seven: Program Design: Specification of Objectives

Synopsis: In the previous session, participants learned how to formulate well written goal statements for a program addressing an identified need. In this session, they work at making these outcome statements specific, time-phased, and measurable. When properly formulated, program objectives provide the bases for evaluating the degree to which a program goes according to plan.

Objectives: Participants will:

- identify the four essential elements of a program objective using the criteria provided in the training program;
- given a sample goal statement, write program objectives using the four criteria; and
- write a program objective for their back home problems.

Session Eight: Program Design: Choosing a Strategy

Synopsis: This session provides a model to help participants choose a strategy for carrying out the program objective(s). Participants focus first on identifying possible strategies; next on choosing the strategy that will accomplish the objective with the fewest or least important undesirable side effects; and then on identifying the resources necessary to carry out the strategy chosen.

Objectives: Participants will:

- apply the four basic steps provided by the training program in choosing a strategy; and
- complete an Agency and Community Resource Inventory.

Session Nine: Program Design: Time-Phased Action Plan

Synopsis: A time-phased action plan spells out the tasks related to each activity needed to carry out the selected strategy; the order, phasing schedule, and coordination of tasks; and the person(s) responsible for carrying out each one. This session teaches participants an easy method of going from a selected strategy and resource inventory to a detailed performance plan.

Objectives: Participants will:

- develop a time-phased action plan to carry out one of the major activities necessary for implementing a selected strategy.

Session Ten: Implementation: Program Management and Coordination

Synopsis: This session is designed to allow the planner to explore some management skills used in implementing a community program and to explore the importance of establishing and using information exchange channels to keep all participating parties informed on the progress of an established plan. The ongoing role of evaluation and revision is also discussed.

Objectives: Participants will be able to:

- describe several management skills that can assist them in implementing a planned program; and
- describe an information exchange channel that can be used to keep participating parties informed on the progress of an established plan.

Session Eleven: Program Evaluation

Synopsis: This session focuses the participants' attention on the need for conducting an evaluation of the program developed. It brings together many activities that were considered in earlier sessions and shows how they relate to and contribute to the evaluation effort. Suggested techniques for conducting informal, indirect, or process evaluation are offered along with guidelines for selecting an evaluator to assist in the design and execution of their back home evaluation effort.

Objectives: Participants will:

- identify three reasons for program evaluation;
- identify three non formal approaches to program evaluation;
- complete an evaluation readiness checklist;
- list one advantage and one disadvantage for each data gathering technique described in the session;
- list three advantages and three disadvantages of using an outside evaluator;
- complete a set of evaluation worksheets for one objective of their back home problems;
- list three steps that would increase the objectivity of their evaluation effort; and
- list three planning activities that would contribute to the effeciveness of their program evaluation.

Session Twelve: Completion of Preliminary Plan for Back Home Problem

Synopsis: After a brief summarizing discussion of the planning process, participants will work individually on their preliminary plans for their back home problems, with a final opportunity to ask for assistance from the trainers. They will then discuss their planning problems as a group and identify a helping network for future contacts.

Objective: Participants will:

- complete their preliminary or partial plans for attacking their back home problems.

Introduction and Welcome

Synopsis: An atmosphere is established to foster learning by providing an opportunity for the participants and training staff to become acquainted. Participants will become familiar with the goals, objectives, content, and sequence of the training program and begin to explore how a planning process can assist them in developing alcoholism services. (Training program evaluation data may also be gathered.)

Objectives: Participants will:

- become familiar with the purposes and objectives of the training program; and
- establish a workable accommodation between their expectations and what is being offered in the training program.

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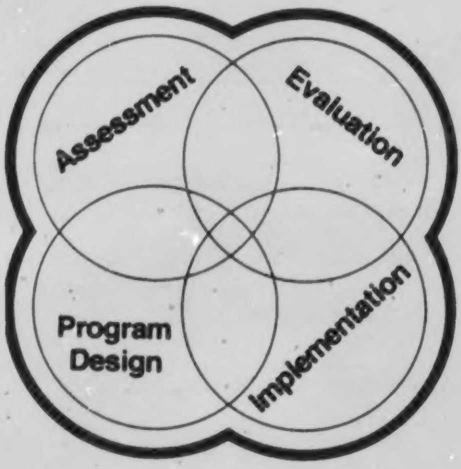
APIE Definitions

A planning process is a systematic way of making decisions and taking action to address problems, needs, and concerns. It includes the collection and analysis of information; specification of goals; and organization of resources. It culminates in the implementation of planned actions and the evaluation of the outcome of those actions. The planning process is composed of four overlapping and interdependent components: Assessment, Program Design, Implementation, and Evaluation. The process can be visualized as a figure composed of four distinct but interlocked circles (see diagram below). Each component comprises specific activities listed below.



Assessment Component

The assessment component is the initial part of the planning process in which the following activities occur:

- Identification of the problem area(s)
- Preliminary evaluation of possible problem area(s)
- Definition/statement of the problem(s)
- Collection of needs assessment data
- Analysis of needs assessment data
- Setting priorities among the problem(s)
- Decision Point: Decide whether or not to pursue solutions to the problem(s)

Program Design Component

The program design component includes the following activities:

- Setting goal(s)
- Specification of objective(s)
- Selection of strategy(s) for reaching objective(s)
- Identification of resources and constraints
- Rating the importance and impact of resources and constraints on the plan
- Development of a time-phased plan which includes the enumeration of activities, personnel, and other resources required for achieving the objectives
- Analysis of potential problem and contingency plan(s)
- Outline of the evaluation design for measuring success of the plan

Implementation Component

In the implementation component, necessary knowledge, skills, and resources are applied in order to achieve the goals and objectives. The following are among the activities of the implementation component:

- Management/monitoring/supervision; performance of assigned activities
- Establishment and use of information-exchange channels
- Coordination of participating resources
- Making adjustments as required

Evaluation Component

The essential purpose of evaluation is to provide information for decisionmaking. The major activities of evaluation include:

- Clarification of decisions to be made
- Identification of the type(s) of information needed to make decisions
- Designing and carrying out a plan for collecting that information
- Reporting conclusions from the analysis in a timely and useful manner
- Feeding back evaluation conclusions for consideration in revising the plan

Training Program Expectations

Take about five minutes to write down:

1. The community program planning problem area that you have come prepared to work on during this training program. (For the remainder of the training program this will be referred to as your "back home problem.")

2. The aspect(s) of a planning process that interests or concerns you most in relation to this problem.

3. Your general expectations about the program (i.e., what you hope will happen during the program, what you hope to gain).

4. Your worst fears about the training program (i.e., what you hope will *not* happen).

Planning and Community Involvement

Synopsis: This session focuses on the importance of involving various segments of the community in planning for the development or expansion of alcoholism services. A list of the major activities by which a planner can further such involvement is presented for review by the participants. After a brief consideration of which activities might apply to their back home problems, the participants name the kinds of individuals and groups they expect to involve in working on their problems. As an outcome of this activity, the use of the term "community" as the context for exercises in this training program is clarified. Finally, the participants perform the Broken Squares exercise, which illustrates in an experiential way the importance of coordinating resources in a team or community effort.

Objectives: Participants will:

- identify two essential reasons for being aware of the community when planning for alcoholism services;
- cite at least two common difficulties in eliciting community cooperation on alcoholism service programs;
- list at least three kinds of individuals or groups in the community they will probably want to work with on activities to establish or expand alcoholism services; and
- specify a crucial ingredient for making certain that necessary community resources are used both effectively and efficiently.

Reference Information: Community as Context for Planning the Development or Expansion of Alcoholism Services 14

Worksheet 1: Activities Leading to Community Involvement in Developing Alcoholism Services 15

Worksheet 2: Identification of Community Individuals and Groups Relevant to Alcoholism Planning 16

Community as Context for Planning the Development or Expansion of Alcoholism Services

Planning for the provision of alcoholism services does not occur in a vacuum. No matter what services are envisioned, they must be planned in the context of the community in which they occur.

Community is a word with several meanings. In discussing alcoholism service programs one community includes the people who will be served, both directly and indirectly. This community includes alcoholic clients, their families and friends, coworkers and employers, and ultimately everyone who may be affected by the results of alcohol abuse.

Another community includes those who serve, the direct providers of alcoholism treatment and providers of other services needed by alcoholic clients and their families. This might also be called the resource community, which is already providing, or could be mobilized to provide, services or other resources (money, equipment, personnel, expertise, etc.) to contribute to an alcoholism service program.

In the planning process, both of these "communities" become resources. The community to be served must be assessed and may become consultants in a plan to develop alcoholism services. Service providers must be considered in order to avoid duplication of services and to capitalize on possible cooperation and coordination of services.

Viewing alcoholism service programs in their community context(s) benefits both alcoholic clients and other direct victims of alcoholism and the community as a whole. It helps to bring those who need services into contact with them as quickly as possible, and it helps the community to avoid the wasteful expense of duplicate resources or services.

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Activities Leading to Community Involvement in Developing Alcoholism Services

Activities that lead to or are part of community involvement in the development or expansion of alcoholism service programs include the following:

1. Periodically assessing or reassessing the total community need for alcoholism services.
2. Periodically evaluating the total effect of all available services in meeting alcoholism needs of the community as a whole.
3. Dividing larger community into target groups consisting of specific populations for the development of alcoholism services.
4. Encouraging community groups and organizations to develop new alcoholism services where needed.
5. Urging community groups and organizations to expand their present level of alcohol-related services as needed.
6. Promoting cooperation of other social agencies which are directly or indirectly involved with agency clients.
7. Promoting the goals and positive image of the agency or organizational program in the specific community which it serves.
8. Training the staff and volunteers of community agencies in identification and referral of persons with problems related to alcohol.
9. Promoting the concept of rehabilitation of problem drinkers when talking or working with uninformed individuals, groups, and organizations.
10. Initiating support for primary prevention efforts in the community.

NOTE: Numbers are used for convenience in reference only. They do not indicate sequence or ranking.

SESSION TWO
WORKSHEET 2

Identification of Community Individuals and Groups Relevant to Alcoholism Service Planning

In the context of planning alcoholism services that are relevant to the target group to be served and that make use of all available community resources, list the kinds of individuals and organizations in your community that you think it will be useful to work with in planning the development or expansion of alcoholism services related to your "back home" problem, and make a brief note about their possible roles (e.g. needs assessor, service provider, service recipient, etc.)

	Kind of Individual or Organization	Possible Role
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		

Assessment: Stating the Problem

Synopsis: This session provides participants with an overview of all the major steps involved in carrying out a systematic needs assessment. Participants are introduced to a detailed description of the first major step in community assessment: identifying and describing a problem in a concise problem statement. They apply what they have learned by writing problem statements related to a simulated community situation, and to the "back home problem" they brought to the training program.

Objectives: Participants will:

- given a possible problem area from a simulated community, apply the first major step of a needs assessment to identify in clear and precise language at least one specific and distinct problem in the possible problem area; and
- apply the session learnings to their back home problem.

Reference Information: The Assessment Process 18

Reference Information: Stating the Problem . . 20

Worksheet 1: Formulating a Problem Statement 23

Worksheet 2: Review of Back Home Problem Statement 25

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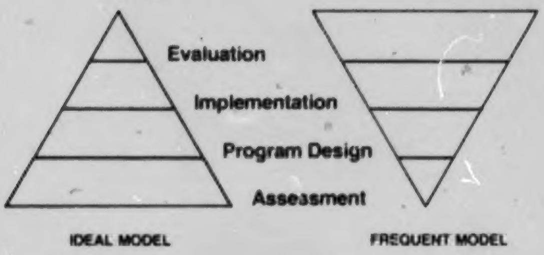
The Assessment Process

Assessment is the foundation or groundwork on which all successful program planning is based. A systematic needs assessment comprises the very beginning tasks in planning. As a result of the assessment, the program planner is in a position to decide whether or not to proceed with the planning process.

Two representations of the planning process are shown in Figure 1. Assessment forms the base of the pyramid with the other activities positioned securely on this foundation. The inverted triangle shows the planning process as it often occurs. In this case the program is based on an inadequate assessment, giving instability to the project and requiring an excessive expenditure of effort on evaluation. This increased emphasis on the later stages results because the incomplete needs assessment leaves goals and expected outcomes unclear; therefore, evaluation becomes a difficult, if not impossible, task.



Assessment is crucial and must be done carefully and completely, because it directly impacts all of the subsequent components of a planning process. Only after a decision has been made, on the basis of the assessment activities and data, does the community planner:

- formulate goals and objectives; and
- proceed with the development of a program design.

By the time the assessment component activities are completed, a community planner will have:

- identified and defined the *possible* and the *actual* problem(s) that confront the community;
- ranked the problems in the order of their importance and their potential for solution; and
- decided which problem(s) will be worked on.

Assessment Activities

The activities or tasks involved in the assessment component of the planning process are shown in Figure 2.

NEEDS ASSESSMENT PROCESS

- **Identify and evaluate possible problem areas**
- **Write problem statements**
- **Collect and analyze needs assessment data**
- **Set priorities among problems**
- **Decide whether or not to pursue solutions**

Each of these tasks or phases of the assessment process is briefly discussed below.

1. **Definition of Major Problems:** Development of community programs begins with identification of those community concerns that constitute actual problems. The following activities are involved in the selection of program-type problems from community issues or alleged needs.

   a. **Identification of Possible Problem Areas:** Possible problem areas are usually first identified to a planner through an administrative directive, a news event, or some community concern that calls for action. Sometimes, the program developer initiates an action through investigation of relevant situations/conditions in the community.

   b. **Preliminary Evaluation of Possible Problem Areas:** On the basis a "quick-and-dirty" or "eyeball" inspection, a planner decides whether given possible problem areas warrant further attention.

   c. **Definition/Statement of the Community's Problems:** Next, problem definitions are developed by stating them in terms of who, what, how, and when, thus narrowing and sharpening the focus.

2. **Collection of Needs Assessment Data:** Assessment data provide information about the scope and importance of the problem within the community.

Data usually exist in many places and in many forms, and they must be collected systematically and carefully for an orderly examination.

3. **Analysis of Needs Assessment Data:** The collected information is examined carefully and thoroughly. A number of different analytical methods can be used to determine what the data reveal about the community's actual needs.

4. **Setting Priorities Among Identified Problems:** Once problems have been clearly stated and documented, planners have to select which problem to work on first, which second, etc., since it is almost never possible to work on all of them at once. This selection process requires setting priorities, or ranking. Decisions may be made on the basis of how serious or important the problem is judged to be and/or on whether or not a problem can be solved or reduced, regardless of its importance.

5. **Decisions:** Finally, the assessment component of a planning process is completed when, using all of the information generated and studied during the major assessment activities just outlined, a decision is made on whether or not to pursue a solution to any of the stated problems. If a decision is made to work on a solution to one or more problems, the program developer/planner begins activities in the program design component. The problems not selected for action are discarded or postponed for future consideration.

Each of these activities is explained in greater detail below and in the next two sessions. The focus of this session, the activities required to define major problems, are described in the following paragraphs.

Stating the Problem

To plan a solution it is necessary to start with the identification of the problem, but in planning services for a community, it isn't always easy to specifically pinpoint *real* problems and separate them from those needs that the community members *think* are problems. Communities are easily aroused by shocking or tragic events which may or may not be the outcome of an ongoing problem situation. On the other hand, it may be difficult to arouse community members about a condition that is often concealed, such as alcoholism.

In addition, communities often apply the label of "problem" to a broad topical area that is usually complex and vaguely stated. What is identified is really only a "possible problem area." Therefore, the community planner and concerned community representatives must make a relatively simple investigation of the possible problem area to see (1) whether it is a real matter for concern in this community and (2) what actually might be the one or more *specific problems* in that possible problem area.

This investigation and resulting decision constitute a "preliminary evaluation of a possible problem area." If the planner decides that there are some identifiable problems that are the proper concerns of his or her agency, efforts are made to state the problems concisely.

A more detailed discussion of the first phase of the needs assessment process is presented below with explanations of:

- What a possible problem area is and how it differs from a problem statement.
- How to make a preliminary evaluation of the reality of the possible problem area(s).
- How concerns can be expressed as problem statements.

What is a possible problem area?

A possible problem area is a broad topical area that someone, some group, or some institution says is a problem. It is said to cause, provoke, contribute to or be involved in some undesirable outcome. Examples of possible problem areas include: cigarettes, smoking, lung cancer; a dangerous portion of a road, auto crashes; alcohol, drinking, drunk driving; theft, robbery, a section of town with a high crime rate, juvenile criminals, street murders, taverns, and child abuse. These examples illustrate the general characteristics of possible problem areas. They obviously are broad, vague topics of concern that may, in fact, encompass a whole set of problems that often cannot be solved because of their scope and complexity.

Why is the term possible problem area used?

Often what is called a problem is too broad to be a true problem statement. Moreover, just calling any concern a problem doesn't provide evidence that it really is one. In addition, sometimes people operate with stereotyped reactions to a label that may be traditionally associated with trouble or difficulty of some sort; e.g., dark streets, guns, the young, joy riding, drive-in movies. Thus, until the topic has been made more explicit and there is at least basic evidence that it is real, it is still only a possible problem area.

How does a possible problem area get identified?

Someone in the community or some event ordinarily calls attention to problem areas by labeling them as problems. Identification and arousal of concern over a problem often is the result of any one or any combination of the following:

- An event or situation which arouses concern in the community, e.g., the injury or death of a prominent citizen or a group of young people.
- A news or feature story on such an event or situation.
- The action, push, or "clout" of a prominent, influential, or sympathy-evoking person or group, e.g., a powerful local citizen; the Chamber of Commerce; a political group; a service club, etc.
- The publicized opinion of a spokesperson for an official agency, institution, or similar office stating that it is a priority problem (e.g., NIAAA, State Alcoholism Authority, Council of Government, mayor, governor, etc.).
- A planner's own familiarity with community situations or needs.

Why is the term possible problem area used instead of problem?

Identification of a possible problem area differs from the definition of a problem in a number of respects. For example, possible problem areas are usually broad, general areas of concern that are seldom based on critically examined evidence, but are often based on emotional reactions (anger, fear, grief) to events reported in the media or called to attention through events that capture the sympathy of the community. In contrast, problem definitions or problem statements are rather narrow and sharp. They focus on a specific trouble or difficulty rather than on emotional, stereotypic labels.

How does a planner make a preliminary judgment about the reality of possible problem areas?

A program planner must make a preliminary judgment about which of the possible problem areas are *real* for his/her community. He/she should not automatically assume that what is or was a problem at some time or in another community is now a problem for his/her community. Without much commitment of time, effort, or money the community planner can find out how important a possible problem area is for his/her community by the following means:

- Asking those who identified the problem as such for evidence of its existence.
- Asking members of other relevant agencies, organizations, groups for their views.
- Finding out the status of the possible problem area in other, similar communities.
- Considering whether the authority and/or power of the person or group that identified the "problem" is such that it simply cannot be easily dismissed or ignored.
- Checking the literature related to the identified problem area.

The kinds of evidence the planner should look for include facts and figures which show that trouble of some sort does or does not exist. The planner can get preliminary evidence about the suspected problem through:

- Official records and reports (e.g., police department, hospital, public health reports, school records).
- The media (newspapers, television, national magazines).
- People who interact regularly with the identified problem group or activity (e.g., school personnel, health workers, recreation workers, bartenders, cab drivers).
- Colleagues (phone calls, letters of inquiry, reports, professional journals).

How does a planner know when he/she has enough reality evidence to make a decision?

The planner can make a preliminary decision about the existence of a problem when he/she and the concerned community members are convinced that it is (or probably soon will be) causing undesirable outcomes in the community. The preliminary evidence will suggest that for the persons in this community it is or is not a more serious concern than in other comparable communities, or than it was previously in this community.

When the planner and the concerned community members can begin to view the problem area from one or more narrower perspectives (e.g., not all "young people," but "young people in a particular group who do some particular thing") it usually indicates that they have identified a problem area that includes a set of specific problems.

How does a problem statement differ from a possible problem area?

From a breakdown and analysis of the possible problem area the planner can derive a sharp and precise statement of a specific problem. Depending on the topic, the problem statement specifies as many of the following as are applicable:

- *Who* is involved or affected.
- *What* is involved or affected or what happens.
- *How* the trouble or difficulty happens or manifests itself.
- *When* or how often the difficulty occurs.
- *Where* or under what conditions the trouble occurs.

What is a common error that is made in stating a problem?

Possible problem areas are usually presented and discussed on the premise that "something ought to be done." It is easy, therefore, to slip into the error of stating the problem in terms of the solution. For example, "I have to go to the dentist," is really a solution to the problem, "I have a toothache." In the same way, "Reducing alcohol-related automobile crashes in the community" is a solution, not a problem.

What does a planner do once the problem is stated?

Once a program planner has identified and clearly stated one or more real problems for the community, it is then possible to investigate those specific problems more closely. In other words, data can be collected to illustrate the extent or seriousness of the problem(s). The collection of needs assessment data is the subject of Session Four.

SESSION THREE
WORKSHEET 1

Formulating a Problem Statement

Background

James Jones, a prominent APIE* citizen, died recently and left $10,000 to the District Y Board of Directors, with the stipulation that the funds be used "to help solve alcohol-related problems among the elderly."

A few days after this bequest was reported, the local newspaper published a feature story about the loneliness and isolation of elderly citizens in the community, including a man who is an alcoholic as one example. The same day, a special report on the public health status in APIE County mentioned drug interaction problems as a growing health hazard, particularly among the elderly, who take more prescription drugs than the younger population and may tend to become confused about dosages.

At the urging of the mayor, the Board has asked your group, a Planning Task Force for District Y, to convene immediately to select and recommend specific problems for which the bequest can be used.

Individual Task (15 minutes)

1. What issues should the Task Force consider in this initial meeting?

2. What kinds of action would be necessary to resolve the issues?

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*APIE County is the simulated community you will be working with in this and later sessions.

SESSION THREE
WORKSHEET 1

3. Where could you go to get some needed information about the elderly in APIE County?

4. Assuming that your Task Force identifies alcohol abuse among the elderly as a problem in the county, write as concisely as you can in the space below, a specific problem statement in the possible problem area selected; i.e., "alcohol abuse among elderly people." If you wish, turn to the reference information on pages 18 to 22 in this workbook to review the characteristics of a problem statement.

Small Group Task (15 minutes)

1. Each member in turn reads his or her problem statement.
2. The group should evaluate each according to whether or not it identifies a specific, solvable problem.
3. As a group, select a statement (rewording or combining parts of the others if necessary) to present to the full group. (Be prepared to specify the criteria you used in selecting it.)
4. Write your selection on a flipchart and designate a group member to present it.

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SESSION THREE
WORKSHEET 2

Review of Back Home Problem Statement

Now that you have discussed the distinction between a possible problem area and a problem statement, turn to your back home problem as you expressed it in Session One (Worksheet 1, page 11) and see whether it was expressed as a clear problem statement.

- Is it too vague or broad to be addressed by an agency and/or community program? Does it need to be broken down further to identify a specific problem or problems within an area of concern?
- Is it the statement of a solution rather than a problem?
- Is it expressed in terms of *who* is involved, *what* happens, *how* the difficulty manifests itself, *when* or *how often* it occurs, and *where* or *under what conditions it happens?*

If necessary, restate the problem in the space below:

Assessment: Collecting Data about the Problem

Synopsis: Session Four helps the participants understand and carry out the second major step in assessment, collecting data about a specific problem. Participants will focus on the kinds of information needed to determine the extent of the problem(s) and on ways to identify sources from which the information can be extracted.

Objectives: Participants will:

- describe the kinds of data required to adequately address a specific problem;
- identify kinds of sources from which the information can be extracted; and
- spell out ways the neededinformation can best be collected.

Reference Information: Collection of Needs Assessment Data 28

Worksheet 1: Data Collection Planning Exercise 30

Worksheet 2: Planning Data Collection for Back Home Problem 32

Collection of Needs Assessment Data

After clear-cut problems have been stated on the basis of a preliminary investigation and judgment about some possible problem area, a community developer or planner does a more detailed investigation of the key element(s) in each of the problem statements. That is, data are collected to determine the extent to which a given problem (or some aspect of it) exists in the community. This is Phase II of the needs assessment process. The data are collected so that later a decision can be made about whether or not to respond to the identified problem(s) or need(s).

What is meant by data?

Data are pieces of information assembled for examination. Needs assessment data may include not only "facts and figures" but information about attitudes, opinions, beliefs, activities, and events as well.

Given a problem statement, how does a planner determine what data are required for a needs assessment?

The planner first looks for the *who, what, how, when*, and *where* content in the problem statement to see what kinds of information figure in it.

He or she decides whether these kinds of information consist of, or take their meanings from, other kinds of information. For example, take the problem statement, "Many professional persons are not aware of the extent to which alcohol-related problems affect the people for whom they provide services." It may be necessary to define what is meant by "many," "professional persons," "aware," "extent," "alcohol-related problems," "affect," and "services." The planner must realistically determine what pieces of relevant, required information he/she can collect, given existing time, staff, money, and access to the data.

For whom is the needs assessment data to be collected? Who will use the data?

Most immediately, the data will probably be used by the planner or community planning group. Eventually, however, the data may also be used by others, e.g., agency supervisors, funding bodies, and other persons or groups relevant to the problem(s) under assessment.

The identification of all probable data users should be considered before beginning to collect data because all may not be satisfied with the same data or with the same level of detail. For some, it may be sufficient merely to gather data on whether a condition or event exists or has occurred. For others, it may be necessary to provide data on how often, under what circumstances, with what results, at what costs, etc.

Similarly, probable users may require different levels of precision. For example, it may be enough for a teacher to determine by touch that a child has a fever; the school nurse seeks more precise data by using a thermometer.

Likewise, reporting forms vary with the kinds of data reported. A school principal might want a record of how many students were absent from school each day. A public health official might want to know how many were absent due to illness, the diagnoses and duration of illness in each case, etc., so would need a more complex recording format.

For what purposes do the probable users need the data? How will the data be used?

- to provide information or knowledge;
- to make judgment possible; and
- to allow for sound decision making.

The end point of the data-gathering activity in a needs assessment is decision making. Decisions are made as a result of judgments; judgments are based on information available. On the basis of the data gathered in the needs assessment process, a decision is made about whether or not the problem is one that the planner will work to resolve.

Where does a planner get the required data?

There are two sources the planner can look to. One is "the horse's mouth," that is, the people, places, events, situations on which data are being collected. This is called primary data.

What are the advantages of primary data?

- Primary data can be precisely tailored to answer specific questions about the problem at hand.
- The planner has control over the scope and quality.
- They may add to the existing bank of information on the problem.

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- They may provide "serendipity data," information beyond what was sought.

What are the disadvantages of primary data?

- They may be costly in time, personnel, and other resources to compile.
- They may turn out to be of uncertain or limited usefulness, which may not be discovered until the data have been collected and analyzed.

Where else can the planner look for required data?

The planner can also look to sources other than those actually being investigated. These are called secondary data.

What are the advantages of secondary data?

- They are usually cheaper, easier, and faster to collect.
- They can serve as a check on the validity of whatever primary data the planner may have collected on a problem.
- They may provide the only means for getting information on a particular problem.
- They sometimes are much more complete than a planner could have gathered, given the constraints within which he/she must operate.
- They may provide the planner with additional or different slants on a problem.

What are the disadvantages of secondary data?

- They may not be as complete or precise as the planner needs.
- Depending on how, when, and from whom they were collected, the data may be faulty, inaccurate, biased, or out of date.
- They may be slightly off target, since they may have been collected for another purpose.

How can primary data be collected?

Information about the target group, situation, or event can be gathered through:

- Interviews with the target group
- Questionnaires completed by target group members
- Observation of the target group
- Surveys conducted among the target group

How can secondary data be gathered?

Secondary data can be gathered by collecting relevant information about the target group or situation from other people or sources. Additional sources of secondary data are reports, studies, presentations, articles, etc., which other persons, agencies, organizations, or institutions may be able to contribute as a result of having gathered their own primary data on the target group, situation, or event.

What are some of the pitfalls in collecting data?

- Collecting more data than are needed; whether too much of the same kind or too many kinds for the purposes of the needs assessment.
- Failing to collect data in an orderly, consistent, usable, and predetermined way.
- Failing to make sure that data are collected in a usable form, and are properly labeled as to source and content.
- Failing to check out the design of the data collection instrument(s) (e.g., questionnaire, survey form, etc.) to make sure it is appropriate in regard to
  - information sought,
  - information providers,
  - style and format,
  - vocabulary used,
  - directions,
  - context or setting for use, and
  - time and effort involved in supplying data.
- Failing to revise instruments and/or procedures as necessary after a preliminary draft or trial run.
- Failing to offer clear and believable reasons for collecting the data.
- Failing to state appreciation to providers of data.

SESSION FOUR
WORKSHEET 1

Data Collection Planning Exercise

Write in the space below the problem statement that your small group, a planning task force in APIE County, wrote in Session Three as a result of considering the possible problem area of alcohol and the elderly.

Your group task is as follows:

- Select a recorder/reporter to list your responses and report them to the entire group at the end of the exercise.
- Brainstorm a list of the kinds of information your group will need in order to gain better insight into the stated problem.
- From the brainstorming list, select five kinds of information your group considers to be most important for assessing the stated problem. List these on flipchart sheets, not more than two to a page to allow space for the additional information requested below.
- Under each of the five kinds of data write:
  - a short rationale of why it is important;
  - the probable users, their purposes, the level of detail they may require;
  - the community sources from which each kind of data might be collected. (See page 31 for partial list of APIE community agencies as a starting point.)
  - a procedure and/or instrument to be used for extracting each kind of data.

Partial List of Community Service Agencies in APIE County

NOTE: Draw on your own experience and imagination in naming other resources if they are relevant to your problem.

Al-Anon, Alateen, Alcoholics Anonymous
Alcohol Safety Project (DWI School)
APIE County Medical Society
City and County Court Systems
City and County Health Departments
City and County Social Services (Welfare) Departments
Community Action Agency
Community Counseling Center
Community Center for Drug Abuse Control
Council of Churches
County Nursing Home
City and County Police Departments
Family Counseling Center
Florence Crittendon Home for Unwed Mothers
Fire and Rescue Squad Departments
FISH (Friendly, Instantaneous, Sympathetic Help)
  Volunteer Agency
Ford's Nursing Home
Foster Parent Project
Goodwill Industries
Grey Panthers of APIE County
Head Start
APIE County Hospital
Housing Authority
Legal Aid Society
Mental Health Association of APIE County
Mental Health Clinic
Mentally Retarded Adults Training Center
Mercy Mission, Inc.
Open Door Community House
Riverview Nursing Home
Roadmore Nursing Home
Salvation Army
Senior Citizens Community Center
Social Security Administration
United Fund
University of APIE
Urban League
Training and Employment Services
Veterans Administration
Vocational Rehabilitation Division
Welfare and Child Support Recovery Unit
Wilderness Nursing Home
Women's Center (Volunteer Organization)
YMCA, YWCA
Youth Opportunity Commission

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Planning Data Collection for Back-Home Problem

Taking your back home problem statement, note for yourself whether any of the terms you used require further definition. (See page 28 of reference material.)

Next, on the following two pages, list all the *kinds of data* you believe will be necessary in carrying out a needs assessment related to your problem statement.

List the *probable users* of the data you plan to collect.

For each kind of information, list all the *sources* in your community that you think could provide the data you require.

Keeping in mind the probable users, their purposes, and the level of detail required, note the *procedures and/or types of instruments* you might use to collect each kind of data.

Be prepared to share ideas in a discussion with your small group.

SESSION FOUR
WORKSHEET 2

Data Collection Planning Format

Kinds of data required	Probable users	Possible sources	Procedures and/or Instruments

Session V

Assessment: Analyzing the Data for Decisions

Synopsis: This session completes work on the assessment component of the planning process and marks the transition to the second component, program design. Participants learn how to analyze data from a simulated community so that problems can be ranked and dealt with through decisive and coordinated action. Participants continue to work on their back home problems.

Objectives: Participants will:

- list three necessary steps in analyzing the collected data, and
- identify at least three bases for setting priorities and making decisions about problems.

Reference Information: Analyzing Data for Decisions 38

Worksheet 1: Exercise in Collecting and Analyzing Data from a Simulated Community 42

Reference Information: Guides for Setting Priorities and Making Decisions 50

Worksheet 2: Data Analysis and Decision-making Exercise 53

Worksheet 3: Looking Ahead to Analyzing Data Back Home 54

Analyzing Data for Decisions

Collected data are merely a jumble of information until they have been organized and analyzed for possible meanings. For many community program planners, analysis of the data is the most challenging and exciting of the assessment activities. Data analysis often calls into play all of the logic and ingenuity that the planner can draw on. It requires discipline, because the planner must never lose sight of the fact that he/she is searching for evidence to support or refute the need to solve stated problems.

At the same time, analysis requires more than a little flexibility and imagination. Some years ago, a magazine ran a series of "What-Is-It?" puzzles. The pictures were all of common objects; the puzzle lay in the way they were photographed—from extremely close up, from unusual angles, or in unusual combinations. Collected data can present the same kind of puzzle. By the time information has been collected, the planner is likely to be quite familiar with the data but may not yet know much about what they can reveal about the problem.

Organizing and reorganizing the collected data to look at it in search of different relationships, contrasts, trends, etc., is the initial step. Then the data usually begin to show where, with whom, when, or with what the focus of the stated problem lies.

What does the term data analysis mean?

Data analysis essentially means examining individual pieces of information and identifying relationships among them so that inferences or conclusions can be drawn.

Who analyzes data?

The planner will probably analyze the collected data alone or with the help of others involved in the planning process. He/she may have help from someone who specializes in evaluation activities. It is desirable, however, for those who analyze the data to be thoroughly familiar with the purposes of the data collection and also with the conditions under which the data were collected, in order to avoid false conclusions. For example, in one small city DWI arrests dropped from an average of 31 per month to fewer than 10 per month during a certain period. This information led the local alcohol council director to assume that the council's new campaign on drunk driving had been immediately and fantastically successful. The reality was that there were fewer arrests because, shortly after the campaign began, all but a skeleton crew of police officers were diverted to special duty on a murder investigation. There were simply fewer police officers available to arrest people for DWI. Fortunately, the sheriff, who was on the council's board of directors pointed out this possible influence on the data before the council director came to an incorrect conclusion about the impact of the drunk driving campaign.

What is the basis, point of view, or framework for data analysis?

The point of view taken in analyzing data depends, of course, on the purpose(s) for which the data were collected as well as how the results of the analysis will be used, and by whom. Nevertheless, the following types of viewpoints are likely to shape the framework in which planners in an alcoholism service agency analyze data:

- *The Community:* What might the data show, mean, or imply for this community? How might the information affect the community and vice versa?
- *The Program:* How might the data relate to this program? How might other programs be affected by the information? What programming implications do the data have?
- *The Planner or Planning Group:* Do the data have any special significance for planning activities as they have traditionally been conducted or are currently understood and projected?
- *Alcohol-related Concerns:* Are there relations or implications in the data that might be significant for alcohol use and abuse, alcoholism, and alcoholic persons? Might such concern areas influence or be some other way involved or reflected in the data that was collected? (E.g., if there is a conspiracy of silence about alcoholism, data showing a negligible incidence of the problem may not be accurate.)
- *The Agency:* What implications do the data have for this agency? For others? For this agency in relation to other agencies or groups in the community?

When data are to be analyzed, it is wise also to review each portion of the information in terms of the who, what, where, how, and when of the problem statement, as a guide in identifying the key frames of reference for the analysis. On occasion, the data may reveal some evidence that was unexpected but appears to be damaging to the program or the agency. This can so jar and distract the analyst that the problem statement and the reasons for collecting the data are forgotten, at least momentarily. Deliberately returning to the major topics in the problem statement refocuses on the task at hand and, sometimes, helps to put the damaging evidence into proper and productive perspective.

Similarly, the data analysis itself may suggest a frame of reference somewhat different from those above. For instance, the collected information may indicate that in a given problem area, there may be far more serious or urgent problems than the ones stated. If this happens, the planners should allow for consideration of the newly uncovered problem(s) and what might be done about them at that point. Two such possibilities are revising or rewriting the problem statement(s) and extending the data collection and analysis to provide more information on the new problem.

Careful problem statement work should make such a shift in framework a rather rare occurrence. However, if the need to restate does arise, it is silly to ignore it, since this needs assessment data analysis is an activity of the first planning component—the front end work. After all, the purpose of a needs assessment is to find out what is needed and/or how much it is needed. However, if a shift seems necessary, *under no circumstances* should the planner make the shift without including the relevant community participants in the decision of whether or not to change from the original problem statement(s).

How are data analyzed? What are some of the mechanical activities in data analysis?

Ordinarily, the mechanical activities of data analysis seem to be left to on-the-job or experiential learning. There are, however, some simple practices that can enhance such learning. They are presented here to guide the novice analyst and serve as simple checklists or reminders for the more experienced.

- First, the collected assessment data are organized so that they are clear and easy to read and study. For example:
  - The same kinds of information are grouped together.
  - Where it is useful, data are summarized, collapsed (i.e., combined), abstracted, etc.
  - Certain kinds of data speak loudest to the analyst when portrayed in tables, graphs, charts, maps, diagrams, outlines—all of which have a wide variety of forms.
  - whatever organizational method(s) are used, great care must be taken to label accurately and immediately each unit or portion of the data; e.g., what it is, what time/place it came from, who it represents, etc. The importance of correct labeling cannot be stressed too much. Given the reality of interruptions and other distractions, it is very easy to forget whether the content of a given table represents consecutive months or annual averages, males, females, or both, the north or south end of town, etc.
  - If the analyst used coding of some sort, it is essential to record the coding key(s) on the data representation; e.g., blue=boys, black=girls; thick lines=the incidence in the north, thin lines=the incidence in the south; dotted lines=weekly totals, broken lines=monthly totals, etc.

- Second, each tabulation, representation, or grouping of data is searched for trends, patterns, peaks and valleys, similarities and differences.
  - Each group is examined to identify any patterns in the individual groups of data.
  - Patterns or relationships between different groups of data are sought and studied.
  - The patterns may convey their most important meaning when different kinds of data are examined together. For example, in certain age or ethnic groups, neighborhood, occupational groups, or economic levels, there may be more or less evidence of some behavior, need, or difficulty than in others; or the occurrence of the behavior, needs, or difficulty varies among groups depending on the time of year, the unemployment rate, and/or the day of the week.
  - Data analysis *as the term is used here* includes data interpretation. It includes not only what a column of figures or a report shows or says, but also possible explanations of what it may indicate or mean. Strictly speaking, "More boys than girls took part" is the stated result of analyzing some figures.

"This seems to indicate that boys were more interested than girls," is one interpretation of those figures. Other interpretations could be:

> "There were more boys than girls available to participate."
> "More boys than girls knew they could take part."
> "Most girls had already taken part on previous trials," and so on.

- Data analysis should not be done in a hurry. The cautious planner allows for occasional breaks or time away from the data. In that way, when he/she returns to a study of the data, new relations and new interpretations may come to mind. Further, it allows for the verification or correction of previously identified relations and interpretations.

- Third, the planner steps back for an overall look at how the results of data analysis relate to the stated problem(s) for which the data were gathered.
  - The main question is whether the analyzed data support, contradict, or seem unrelated to the stated problem(s).
  - This overview involves integrating all the conclusions and interpretations arrived at so far, and provides the basis for the next assessment activity: setting priorities among identified problems.
  - When the outcomes of data analysis seem contradictory or unrelated to the problem statements, the needs assessment activities should not be seen as "wasted effort" (unless it happens repeatedly, in which case the preliminary evaluation and/or problem statement activities probably were not well done). The purpose of a needs assessment process is to find out in a systematic way *what needs to be done*; not to just "do an assessment" and then push on toward "solving" a problem, regardless of what the investigation has revealed about the stated problem and/or the need to solve it in that community. For example, the stated problem may be, "Selling wine and beer in grocery stores leads to many serious car wrecks." The assessment data may show that five times as many serious wrecks occur between 11 p.m. and 3 a.m. (when grocery stores are closed) as occur between 8 a.m. and 9 p.m. (when grocery stores are open).

When does data analysis begin:

- Organization of the data can begin as soon as all the data of one kind have been collected and identified as the same kind of data; e.g., when all of the survey forms have been returned, each individual response can be tabulated on predesigned record form(s).
  - If the planner seeks help from an evaluation specialist about the design of the assessment instruments or procedures, it is also wise to ask, at that time for the specialist's advice about how to record the data from the instruments or procedures.
  - After drafting the tabulation form for recording data, the planner should try it out by recording the data from the trial runs of the instruments. Redesigning a form is far easier and more economical than compensating for a defective one.
- After each kind of data has been recorded, it can be reorganized in as many ways as promise to be helpful; e.g., data from all of the survey forms can be regrouped by sex, age, occupation, etc., of the informants; all the interview data may be regrouped according to favorable or unfavorable responses, by geographic areas, etc.
- Basic cautions in data analysis are against:
  - drawing premature conclusions or making interpretations on the basis of incomplete or incompletely analyzed data; and
  - discussing the data analysis findings while analysis is still in progress. Further analysis may change—or even reverse—preliminary trends, relationships, conclusions, and/or interpretations. Lay people especially (i.e., community members) tend to not hear or to disregard the planner's qualifying words when he/she says, "Preliminary analysis shows. . ." or "Initial data seem to indicate. . ." or "It begins to look as though. . ." Trying to explain the later reversal of a premature interpretation or report can be very painful.

How can the planner know whether the needs assessment data analysis is as nearly correct as it possibly can be?

- Only by taking every possible precaution and by exercising great diligence can a "correct" or accurate needs assessment data analysis be approached. Resources for needs assessments are usually limited; therefore absolute perfection is rarely attained in "the real world" where most planners work. On the other hand, the time for the quick and dirty or eyeball analysis of data (done for the possible problem area) has passed.
- A planner can make certain that the data analysis is as nearly correct as possible by:
  - exercising great caution and attention to details in each of the assessment activities as they are carried out;
  - checking and rechecking on accuracy at every step;
  - asking questions about any piece or type of data which "doesn't make sense" or is particularly surprising; e.g., a survey record form labeled "Ninth Grade Boys" which shows an age range of 16-22 years;
  - being alert to accurate but inconsistent or surprising data; e.g., the mentioned sudden drop in DWI arrests when fewer police officers were on the street;
  - asking evaluation specialists or other qualified persons to review the planner's analysis, and in particular his/her interpretations drawn from the assessment data;
  - comparing his/her findings with those from other similar investigations;
  - discarding faulty data when they are identified as such; e.g., correct directions were not given or followed;
  - collecting additional, comparable information to replace the faulty data (if possible);
  - checking out assessment findings with those who were investigated and/or who know the target group or subject well; and
  - not extrapolating indiscriminately on the basis of limited information.

Data analysis for any purpose, but especially when it is done as part of a needs assessment, must rest on the data being analyzed and interpreted, rather than on the preferences, interests, or biases of the planner or evaluator. A decision to allocate limited resources on the basis of slanted data analyses can only lead to future distrust in the community in which the planner or planning group seeks support. The planning process allows for constant revision as new information is revealed. No one realistically expects that every problem investigated will prove to be what it appeared to be before it was investigated.

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SESSION FIVE
WORKSHEET 1

Exercise in Collecting and Analyzing Data from a Simulated Community

Directions:

1. Select a leader to guide your small group through this exercise and make a brief presentation to the large group on your experiences in doing the exercise.

2. Review the Reference Information from Session Four: Collection of Needs Assessment Data (page 28), and from Session Five: Analyzing Data for Decisions (page 38). Throughout this exercise you may refer to these materials as you wish.

3. During this exercise, proceed as you might in a work situation. It is a simulation of what exists and occurs outside a training room.

4. Since the planning process is presented here in the context of community program development, remember to use your tact and social skills as you complete this exercise.

5. Trainers are available to help you during the exercise. Ask for help if you need it.

6. Follow the directions carefully, and discuss the questions provided on the data recording form.

7. The exercise materials are arranged as follows:

Assumptions 42

Brief Overview of APIE County . . . 42

Selected APIE County Health Department Records 44

Selected Fire and Rescue Squad Records 47

Selected Data from Community Resources 48

Assumptions

Your small group represents a community task force to work on alcohol-related problems in APIE County. As a result of a preliminary investigation, you have concluded that there is some evidence that alcohol abuse is a problem among elderly persons in the county, and this problem statement has been formulated:

> *Problem Statement:* Persons over the age of 62 in APIE County are abusing alcohol to the extent that their health and safety are being seriously affected.

Your task force is now conducting a needs assessment on this population group to make a recommendation to the county alcoholism agency about whether or not a program should be designed to solve or reduce the problem.

The accompanying materials have been collected from agencies and other groups by members of your task force. You may find that you want to gather other kinds of data to decide what your recommendation about a program will eventually be. If so, draw on what you know of APIE County and your home communities and then assume that the data you fabricate was actually collected by the task force.

Brief Overview of APIE County

(Summary of Information Obtained from the County Records and Other Sources)

APIE County is not a wealthy county, but sources of employment are quite steady and the cost of living is relatively low. The unemployment rate peaked at 5% a year ago, and has declined steadily to 4 1/2% now. Most workers are employed in a small plant manufacturing plastic desks and office supplies. The next largest sources of employment are in the service and small business areas, because the University of APIE is located in the county seat.

The University of APIE was a private university up until 10 years ago. As a private institution the University of APIE had an enrollment of 1,500 with a faculty and staff of 80. Now that it is a State University, the enrollment is 6,000 and with a faculty and staff of 200. As the University began to grow so did construction and other service-related jobs. Because of the University's growth, it has become an integral, influential part of APIE County. The University of APIE School of Social Work has a national reputation. Dr. Everett Young, head of the Social Work School, has spent a great deal of his professional life working on problems confronting elderly people.

SESSION FIVE
WORKSHEET 1

With the advent of Federal revenue sharing and similar legislation, APIE County has doubled its economic resources and expanded city and county government services for its citizens. The APIE County official stationery bears the slogan; "A Progressive County on the Move," and in fact, this does represent the attitudes of both the private and government sectors over the last decade.

The last census showed a total population of 80,250, all but 10,500 residents in the county seat, APIE City, or its suburbs. Nearly 8,000 (10%) of the population are over the age of 65, and approximately 35,000 (24%) are under the age of 35. The over-65 population resides mainly in APIE City, with fewer than 500 in the rural areas of the county. Of the 8,000 over age 65, 4,500 are women; 3,500 are men.

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WORKSHEET 1

Selected APIE County Health Department Records

Community Health Nurse Home Visits to Persons Aged 65 and over in 1976

Number of Visits	*Sex* *M*	*F*	*Primary Reason for Visits*	*Evidence of Alcohol Problem* *M*	*F*
35	15	20	Administer medication	7	5
28	10	18	Provide treatment	4	3
22	6	16	Health education/advice	7	2
85	31	54		18	10

Questions

1. What is the total number of visits to women age 65 and over?
2. What is the total number of men exhibiting alcohol problems?
3. How many women with evidence of alcohol problems were visited more than once?
4. How many women were visited for more than one reason?
5. What evidence(s) of alcohol problems were found?
6. How well prepared are community health nurses to recognize evidence of alcohol problems?
7. Is the information given adequate for your assessment needs?
8. If you were collecting data from community health nurses on the prevalence of alcohol abuse among people 65 years and older, what pieces or kinds of information would you seek? Why?

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Emergency Room Treatment of Persons Age 65 and Older in 1976

Types of Injuries Treated	*M*	*F*
Fractures	39	63
Contusions	21	46
Concussions	14	12
Burns	9	23
Cuts	16	25
Eye Injuries	5	2
Gun Shot Wounds	2	0
Stab Wounds	1	0
Poisons	1	5
Drug & Alcohol Reactions	6	15
Other Drug Reactions	10	16
Totals	124	207
GRAND TOTAL	431	

Contributing Factors	*F*	*M*
Falls	50	32
Auto Crashes	21	11
Weather Conditions	12	19
Physical Disabilities	29	22
Fires	3	6
Alcohol Consumption	31	29
Other Drug Use	37	18
Totals	183	137
GRAND TOTAL	320	

Questions

1. How do you account for the fact that the grand totals differ?
2. What changes in format or arrangement would make these data clearer to read?
3. Are emergency room records on contributing factors usually complete? Accurate?
4. What other information might you seek about emergency room patients for this needs assessment?

SESSION FIVE
WORKSHEET 1

Selected APIE County Law Enforcement Records

Disposition of 1976 DWI Arrests of Persons 60 Years and Older

Arrests		
M	*F*	*Disposition of Case*
12	22	Released in Custody of Family or Friend
15	5	Placed on Probation
41	10	Sentenced to DWI School
5	3	Referred for Alcoholism Treatment
12	0	Sentenced to Jail and Fined
1	1	License Revoked
86	41	

Questions

1. What do the data reveal about the incidence of drunk driving among the elderly in APIE County? What are some implications of this?
2. What do they reveal about law enforcement policies toward DWI and the people arrested for it?
3. How do these data compare with those in the County Health Department records?
4. What other information might you want to seek from law enforcement records or personnel? Why?

SESSION FIVE
WORKSHEET 1

Selected Fire and Rescue Squad Records

Summary of APIE City Fire Alarm Responses in 1976

Number of	
Fires Extinguished	191
Fires Out on Arrival	212
False Alarms	178
Total Number of Fire Alarm Responses	581

Summary of APIE City Rescue Squad Responses in 1976

Number of Persons	
Treated at Scene	216
Transported to Hospital	102
Total Persons Attended	318

Types of Calls	
Fires	316
Car Wrecks	297
Drownings	6
Heart Attacks, etc.	103
Other	25
Total Responses	557

Fire and Rescue Squad members estimate that persons over 60 years of age are in some way involved in approximately 20% of their calls. That is, they are victims or potential victims in fire scares and other crisis situations. They are, however, not often known to cause serious fires (e.g., ones in which property damage exceeds $500 or people are injured or killed). Furthermore, they report that fewer than half a dozen older people were visibly intoxicated when the squad responded to fire alarms or rescue calls during 1976. The Fire and Rescue Squad members regard smoking as far more dangerous than drinking, but admit that combining them is a "really bad mix."

Questions

1. How accurate and complete do you judge these data to be in regard to the problem under consideration? Why?
2. What questions about the elderly citizens are raised by these data? How could you get those questions answered?
3. How do these figures jibe with the data from the County Health Department? What does that imply?
4. What other data would you like to have about the health and safety of this group of people? Where would you look for such data? How likely is it that you could obtain it?
5. Examine the presentation, format, and content of the data. Would you make any changes? What would you change? Why? How?

SESSION FIVE
WORKSHEET 1

Selected Data From Community Resources

Summary of Interview with Dr. Everett Young of APIE University's School of Social Work

Dr. Young says that one of the most serious problems of older persons in APIE County (and in other places) is loneliness and isolation. He says that there is a good program for them here, but it is not good enough.

Three years ago in January, two of Dr. Young's graduate students mailed a one-page questionnaire to 300 APIE County retired residents receiving Social Security. A total of 275 completed and returned the questionnaire, revealing the following main patterns.

1. Of the 275 respondents (91 men; 184 women), 183 said that as retired persons they found time dragging for them. Except for sports events, a majority of the men said that television was boring. Of the women, 140 said they used television to help pass the time but would not stay home to watch a program if they had something better to do.
2. Two-thirds of the women lived alone, whereas only 15 of the men did.
3. All but 25 of the respondents had relatives living in the county, though they usually saw them only every two or three months. Holidays and birthdays, however, were almost always spent with relatives. All but 26 of the solitary women had entertained relatives at least one meal in the previous six months; only 4 of the men living alone had done so.
4. Two-thirds of the men and three-quarters of the women reported that they drove their own cars. The remainder depended on others or public transportation.
5. In response to the question, "How has retirement changed your habits?" 42 men and 63 women noted (among other things) that they were drinking alcohol on a daily basis now.
6. Of the men, 28 said they attended church services at least twice a month, and 109 of the women reported the same. Participation in church societies, however, was much more limited: 7 men and 37 women were active in church groups.
7. All but 16 men and 20 women indicated that they wished they had more of an opportunity to mingle with people and do something worthwhile, as they used to do when they worked or were raising families.

Questions

1. On the basis of the graduate students' data, do you agree with Dr. Young's assessment of the problem or not? For what specific reasons?
2. Consider how you would arrange these data for easier study and comparison. Use a sheet of flip-chart paper to illustrate what you have in mind.
3. Many people are critical of self-reported data because there is no way to check the accuracy of an anonymous form. Are you suspicious of these data? Why or why not?
4. In light of the problem being investigated, what other inquiries would you make? Of whom?

Summary of Report on the University of APIE's School of Pharmacy Drug Knowledge Project

As a term project, five upper level pharmacy students surveyed drug knowledge among customers purchasing medicines in five APIE City drug stores. The following pieces of data are extracted from their report on 50 interviews.

1. Have you (or has the patient) used this medicine before?

   Yes 38 No 10 Uncertain 2

2. How did you happen to first buy this product?

12	Doctor's prescription
8	Pharmacist recommendation
17	Family friend recommendation
7	Advertisement
6	Picked it off the shelf

3a. Are you aware of any cautions on using this medicine?

Yes 4 No 46

3b. If yes, how did you learn of them?

1	Doctor's directions
1	Pharmacist's warning
1	Package or label statement
0	From a friend or relative
0	From the media
1	Previous unpleasant experience

4. Do you usually ask the pharmacist whether or not there are cautions about using a new medicine?

Yes 3 No 44 Occasionally 3

5. Have you ever been cautioned about drinking alcohol while you are using a particular drug?

Yes 5 No 45

Questions

1. What additional information do you need before you can judge the relevance of these findings for your needs assessment? Why? Where would you go for it?
2. What difficulties can you identify in this method of data collection? Why? How might each be overcome?
3. What educational implications is a survey like this likely to produce? Who should be educated? About what?

The Senior Citizen Volunteer Program (SCVP) Membership Group Meeting

The Senior Citizen Volunteer Program (SCVP) involves approximately 300 persons 60 years of age and over in a variety of volunteer activities in APIE County. They provide services for hospitals, nursing homes, housebound senior citizens (e.g., visits, daily telephone checks, meals-on-wheels, sort and deliver mail or flowers, etc. to patients). They also staff the reception desks for large community meetings and conferences held in APIE County. They make presentations on their careers, travels, and hobbies and take part in other activities with the schools and community groups.

In general, their purpose is to bring satisfaction to senior citizens by promoting their involvement in and contribution to community members and events.

1. Given the information in the data above and your analysis of it, what information would you seek if this membership of 300 persons invited your task force to an exploratory meeting on the problem under consideration? How would you collect it? How could it be organized for use by the task force?
2. How would you organize the data if the SCVP group asked you to present an interim report to them? What considerations would affect your choices? How would you interpret that one set of data in your presentation? Why?

Directions for Optional Additional Data

If your group wishes, spend not more than 10 minutes brainstorming other kinds of data you might seek to collect, what the sources you might use, and how you would go about collecting the data. Keep in mind the purpose of the needs assessment and the requirements of the person(s) who will use the results of the assessment.

Directions for Data Organization Exploration

As a group, review the materials supplied above, and whatever you may have fabricated. Spend at least five minutes considering how such data might be organized—and reorganized—to assist and sharpen the analysis of the data.

Guides for Setting Priorities and Making Decisions

Priority setting and decision making are complex processes in which the rules that operate are often unclear. The purpose of these guides, therefore, is to alert the planner to the kinds of topics and questions that can help to replace subjectivity and intuition with a measure of objectivity and evidence for setting priorities and making decisions about identified problems.

Rather than simply saying, "It depends," when the priorities or decisions of one's agency are questioned, the planner should be able to cite what it is that the priorities or decisions depend on. To be sure, some influences are stronger than others, and the strengths of the influences vary from time to time and from place to place. This will be dealt with further in Session Seven. For the moment, the following questions are designed to sharpen the way planners approach decisions that are to be made on the basis of the needs assessment data.

What are some basic questions that community planners should ask when confronted with evidence of more than one community problem which is worthy of attention?

For *each* problem the following sorts of questions should be raised.

- Does it appear that it is possible to solve this problem?
  - Can the problem be reduced if not solved? To what degree?
  - Can parts of it be solved? Which ones?
- What segments of society are directly affected by this problem? (e.g., women, parents, young children, nurses, low income people, auto drivers, German-Americans, singles)
- How many people are directly affected by this problem? (e.g., 40% of all women, all auto drivers)
- In what ways and to what extent are those people affected by the problem? (e.g., time/money costs; injury/illness/death/discomfort/seriousness or continued impact)
- Is this problem one that falls within the scope of this agency's goals and activities?
  - If so, which one(s)?
  - If not, is there some other agency within whose goals it might fall?
- If another agency's goals encompass this problem, how could this agency be involved in the solution of the problem? (e.g., sharing special knowledge or resource personnel)
- Is this problem one for which there is now strong evidence of general community concern?
  - What likelihood is there that community support could be generated?
  - How could it be generated or increased?
- Is this a current, but probably temporary, problem?
  - If so, what is its likely duration?
  - What is the probable scope of its impact?

On what bases can priorities among "worthy problems" be set?

When several problems have been investigated and found to be worthy of attention, attention usually focuses on the following considerations:

- the likelihood of solving or reducing each problem;
- the urgency/seriousness/importance of each problem's impact on the community and segments of the community;
- the estimated extent of current or predictable community support for working toward the solution to each problem;
- the priority ranking that the agency or planning group has already established for certain target groups, regions, program emphasis, etc.;
- the feasibility of being able to locate and obtain the resources required to work toward the solution of each problem; and
- as an ever present political reality in community program development planning (and in other situations also), the possible involvement, interest, or support of some community member or group which cannot be ignored (i.e., influence, power, or clout).

What usually determines the relative weights of those bases in priority setting?

Relative weights of the factors involved in decisionmaking vary from problem to problem, time to time, community to community, agency to agency, and people to people—and/or any combination(s) of these. The important actions for planners to take in dealing with relative weights in priority setting are:

- identify as clearly as possible each of the probable sources of influence;
- determine as precisely as is reasonable the current relationships among the influences (e.g., last year's priority for an organization may not be this year's; some feuds smolder for years whereas new and unexpected alliances are sometimes formed); and
- work closely and tactfully with community members to rank the problems when more than one appears to fall in the high priority category.

Although a planner or agency may bear the ultimate legal responsibility for action, care should be taken to make certain that there is community support for the action. This not only strengthens the chances of success in working on a given problem, but it also bolsters the position of the planner or agency if difficulties or opposition should arise.

What is one particularly effective way that planners can show what different problems cost a community and the savings that could result from solving them?

- Planners can prepare comparative projections on the relative costs of each of the problems and their solutions. Comparative projections can be made in terms of economic, human, and political costs of the problems and solutions.
  - Economic costs are by far the easiest to figure, although doing so does involve considerable work.
  - Human costs are much more difficult to measure precisely, but they may offer especially persuasive arguments.
- Showing a community some estimates of what a problem costs—in any terms—and what its solution might save, often serves to motivate and elicit support from segments of the community that are not otherwise likely to concern themselves with community alcohol problems.

Who should be involved in priority setting for a community? How?

- The two main groups involved in setting priorities are the alcohol agency or organization and community representatives:
  - the community planner and whatever other persons from his/her agency may have authority, responsibility, or particular experience in community work of this sort.
  - the key community representatives or spokespersons who have been involved, from possible problem area identification through the other needs assessment activities.
- Involvement should occur within clearly defined parameters; i.e., if an agency or a board is legally responsible for making final decisions, community members should have been made aware of this from the start, in a tactful way, and their advisory role clarified.
- Before priorities are set among these problems, if any of the defined problems are likely to require the cooperation of other agencies, organizations, or groups, the planner should find out how his/her problems rank among the priorities of those other agencies, etc.

Is a list of priorities static or dynamic?

As with virtually everything else in a planning process, a priority list should not be regarded as static or final. Priorities can be changed—but not on a mere whim—when the situation changes and/or new information indicates the need for a change. For instance, the day after the planner and his/her group decide on the problem to which their efforts will be applied, the newspaper announces that a professor at the local university has received a handsome grant to work on the same problem in much the same way.

- Admittedly this should not have come as a surprise if the planner were truly in touch with the community, but once in a while there is a surprise which must be taken into consideration.

- In this case, the planner and his community group might elect to work on their second-ranked problem.

Once priorities among the problems are set, what happens next?

A decision is made about which problem will be worked on first, second, etc. It was for the purpose of making this decision that each of the assessment activities was carried out. Making this decision completes the needs assessment activities, and the planning process moves into the program design phase.

- Although an agency might in fact elect to work on several problems simultaneously, for the purposes of illustration and simplicity, this training program proceeds on the assumption that the individual planner is approaching the solution of a single problem.

Data Analysis and Decision Making Exercise

Directions

Drawing on the needs assessment data from the simulated community exercise recently completed, determine as a task force what action you will recommend on the problem as stated:

> Persons over the age of 62 in APIE County are abusing alcohol to the extent that their health and safety are being seriously affected.

Three options are open to you:

- recommend that a plan be developed to attack the problem as stated;
- recommend that the problem be rejected; or
- recommend that the problem be restated and a plan be developed to attack the problem as restated.

Whichever option is selected, the group should be prepared to present needs assessment evidence in support of the recommendation. The data were collected so that this decision could be made about the stated problem.

In a real community setting, it is quite possible that the task force might have conducted needs assessments on several stated problems. In that case, a decision from among the three options would have to be made for each problem. Then, priorities would be set among all the problems that were accepted for work.

From what you know of APIE County and other places like it, consider briefly whether there might be other alcohol-related problems that should be ranked as higher priority(s) than this one. Support your views with data provided or fabricated in the last exercise.

Looking Ahead to Analyzing Data Back Home

Directions:

1. Review the plans you made for collecting data on your back home problem statement in Session Four (page 34).

2. Taking at least two different kinds of data listed there, begin to rough out some possible formats for recording the needs assessment data you expect to get.

3. Be conscious that the following are among the sorts of considerations you will want to include in your deliberation:

   - clear and informative titles;
   - concise but meaningful headings for columns, sections, or portions of the information;
   - major labels (e.g., students, residents) and minor labels (e.g., male and female; grades six, seven, and eight; home owners and renters); and
   - space arrangement and markings for clarity and ease of reading, including
     - Shape of paper to be used
     - Size of paper
     - Width of columns
     - Space between columns
     - Use of lines and underlining
     - Use of all capital letters; capitals and small letters
     - Spacing on the page (e.g., center headings, margin headings, indented headings)
     - Use of bullets and hyphens (e.g., ● and -)
     - Use of alphabetic and numerical outlining
     - Use of footnotes
   - Graphic presentation of data
     - Arrangement in graphs, charts, tables, maps (e.g., bar, line, pie graphs, etc.)
     - Thick and thin lines, broken and solid lines, etc.
     - Different colors
     - Symbols and designs (e.g., arrows, dots, boxes, circles, stick figures)

4. Plan formats that will be clear. However, bear in mind that it may be necessary to record data in relatively simple ways first (e.g., each school or grade separately) before combining several sets into a broad representation (e.g., all third grade girls in the city).

   - In recording data, be aware that the more complicated the format, the greater the chance for error (e.g., filling in the wrong column or square)

5. When you have roughed out some samples, share them with your dyad partner or others in the small group.

   - From your titles, labels, and arrangements can they tell you the kind(s) of information they would expect to find on the page?

6. Plan ahead as carefully as you can, but never be reluctant to redesign a format if people are getting the wrong message from it.

Program Design: Setting Goals

Synopsis: This session introduces the program design component of the planning process. Participants learn how to formulate goal statements that are responsive to the need(s) of the target group identified during the assessment phase and selected for action. The session emphasizes that goals are outcome or result statements and not activity statements. It lays the groundwork for the specification of concrete program objectives.

Objectives: Participants will:

- given problem statements based on the simulated community, write goal statements according to training program criteria, and
- write a goal statement responsive to their back home problem statements as formulated in the assessment sessions.

Reference Information: Program Design 56
Reference Information: Writing a Goal Statement 56
Worksheet 1: Goal-Writing Exercise 58

Program Design

After the Assessment Component of the planning process, in which a problem is systematically identified and selected for action by a program planner and the involved community group(s), work on the second component is outlined as follows:

PROGRAM DESIGN

- **State goals**
- **Specify objectives**
- **Choose strategies**
- **Identify major activities**
- **Determine and locate necessary resources**
- **Develop time-phased action plan**
- **Outline evaluation design**

The component called "program design" in this course is often called "planning" in other courses and writings on the subject. The term "program design" is used here to avoid confusion between the overall planning procedure that is the subject of this course and the specific program planning or design component that is one part of the planning process.

Writing a Goal Statement

What is a goal statement?

The problem statement is deliberately phrased not to include a solution, but it does imply a solution. The goal statement should state the outcome that would provide that solution. In other words, a goal is what the program planner and the community group want to see in place or accomplished when a plan to address a given problem has been carried out.

For example:

Problem: Alcohol abuse is a major contributing factor in teenage vandalism and destruction of community property.

Goal: To provide a program for teenagers that will reduce the alcohol abuse that leads to destruction of community property.

Problem: The public lacks information about the understanding of alcoholism as a disease.

Goal: To provide the public with an awareness program on the disease concept of alcoholism.

Problem: A very small percentage of alcoholic women are receiving treatment through the community service network.

Goal: To increase the number of alcoholic women receiving treatment through community services.

What are the characteristics of a goal statement?

- It implies a broad and general solution by identifying the desired outcome.
- It specifies the target group (e.g., teenagers, the public, alcoholic women).
- It focuses on a selected need (e.g., prevention of alcohol abuse among teenagers, lack of information about alcoholism as an illness, small percentage of alcoholic women receiving treatment).
- It is consistent with the agency's mission or purpose (e.g., developing a prevention program, disseminating information, extending alcoholism services to a neglected population).

What is not included in a goal statement?

It is important to notice that the goal statement identifies only *what* will be accomplished. It does not specify *how* the outcome will be achieved, *when* it will come about, exactly *how many* individuals will be affected or *to what extent*. For example, the sample goals do not tell what kind of prevention program for teenagers will be instituted; which members of the public will be educated by what means; or how the numbers of women alcoholics treated will be increased. The specifics for achieving the outcome are developed later, in the form of objectives and strategies.

What is the purpose of developing a goal statement?

There are several important reasons for stating a goal before moving immediately to objectives.

First, particularly when the program planner is working with a community group, a variety of concerns, preferences, and special interests may exist. In such a situation, often without intending to, people often "hear" quite different messages. Each one operates from his or her own frame of reference in a discussion. Therefore, it is essential to be certain that, regardless of wherever each person is "coming from," the group is focusing on the same thing.

A goal statement spells out that focus in a general way and so provides a point of agreement from which the community program developer and the involved community people can move on to specifics. If the members of a planning group are thinking of several different outcomes or solutions to a problem, that must be brought out and dealt with at this time, rather than accidentally discovered when someone eventually says, "Is *that* what we're trying to do? I thought we were doing so-and-so."

Second, like a politician's campaign speech, one purpose of a goal statement is to elicit support around a point of basic agreement. Once planners have reached agreement at a global level, the likelihood of later reaching agreement on necessary details is increased. Plunging too soon into details has snarled many a community effort in nit-picking and time-wasting pursuits. Consequently, even though the program planner may already have leapt ahead mentally to the point where he/she could state objectives, the goal statement activity must not be short circuited in planning for community program development.

Furthermore, starting at the global level of a goal statement increases the probability that the focus will not be narrowed too soon. When a solution is considered in a broad context, a number of worthwhile alternatives may be presented and considered that would probably not even be brought up if a precise objective statement were offered at this point.

In addition, formulating a goal statement ensures that the solution falls within the agency's scope or mission. It may help ensure that the agency is not impinging on work already being done by another agency or group—resulting in a duplication of effort or a political embarrassment. Furthermore, formulating a goal statement may suggest ways in which the agency can complement or enhance another program or programs.

In summary, a goal statement is a broad statement responsive to a stated need. It provides the *what* information, as distinct from the *how*. It serves the purposes of clarification for concerned individuals and groups, provides a basic focus of agreement, serves as a checkpoint regarding the agency's mission or goal, and provides a basis for selecting means and resources to implement a solution.

SESSION SIX
WORKSHEET 1

Goal-Writing Exercise

This exercise has two parts. In Part 1 you will be given three problem statements drawn from the simulated APIE Community. You are to write a goal statement for each, containing all four characteristics of a goal statement.

For Part 2, take your back home problem statement and write a goal statement, again containing the four characteristics listed in this session.

You have 10 minutes to complete both parts. Then for 10 minutes, meet with your partner and check each other's work to be sure that each goal statement includes the four characteristics.

Part 1

Problem #1: A significant number of senior citizens are becoming ill as a result of consuming alcohol while taking medications.

Goal #1: ____________________

____

____

____

Problem #2: Alcohol consumption has been a factor in over 25% of the automobile collisions caused by people over 60.

Goal #2: ____________________

____

____

____

Problem #3: A significant number of immobile senior citizens are consistent consumers of excessive amounts of alcohol.

Goal #3: ____________________

____

____

____

SESSION SIX
WORKSHEET 1

Part 2

Back home problem statement:

Goal statement for back home problem:

Session VII

Program Design: Specification of Objectives

Synopsis: In the previous session, participants learned how to formulate well written goal statements for a program addressing an identified need. In this session, they work at making these outcome statements specific, time-phased, and measurable. When properly formulated, program objectives provide the bases for evaluating the degree to which a program goes according to plan.

Objectives: Participants will:

- identify the four essential elements of a program objective using the criteria provided in the training program;
- given a sample goal statement, write program objectives using the four criteria; and
- write a program objective for their back home problem.

Reference Information: The Essential Characteristics of a Program Objective. 62

Worksheet 1: Exercise on Characteristics of a Program Objective. 63

Worksheet 2: Writing Program Objectives from Simulated Community Goals 73

Worksheet 3: Writing a Program Objective for Back Home Problem. 74

Reference Information: Outline of Evaluation Design 75

The Essential Characteristics of a Program Objective

What is an objective?

An objective is a statement which specifies the activity for reaching a goal or outcome. In contrast to the broad goal statement, an objective is much more precise in stating how the outcome is to be reached. For example:

Goal:	To provide a program for teenagers that will reduce the alcohol abuse that leads to destruction of community property.
Objective:	To sponsor a series of free monthly athletic events for students at Luke High School from September to May of the next school year.
Goal:	To provide the public with an awareness program on the disease concept of alcoholism.
Objective:	To publish a series of five feature articles on the disease of alcoholism in the local newspaper during the months of October and November, 1980.
Goal:	To increase the number of alcoholic women receiving treatment through community services.
Objective:	To increase by 50% between January and June of 1981, the number of alcoholic women in Catchment Area D receiving treatment through the Beaver Valley Community Agency.

What are the essential characteristics of an objective?

A useful objective has four essential characteristics:

- identifies the *target group*;
- states the *result*;
- in *measurable terms*; and
- identifies *when* the result will happen.

As the above pairs of goal and objective statements show, the *target group* is more precisely stated in objectives. Objectives identify clearly the persons with, for, or on whom the result will be accomplished.

Likewise, the *result* is more specifically spelled out in an objective (e.g., a series of five feature articles on the disease of alcoholism is an awareness campaign).

The result is stated in *measurable terms*—how many, to what extent, etc. (e.g., 50% more than the number of alcoholic women now being treated through the Beaver Valley Community Agency vs. alcoholic women). Sometimes the measure is merely a yes or no: is the result in existence or isn't it? Were the five monthly feature stories published or not?

Identifying *when* the result will happen simply means setting a specific date or a specific time limit within which the result will occur or be in place (e.g., within the next school year; during October and November, 1980).

A realistic awareness of what is involved in, and required for, reaching the objective must guide the planner in drafting objectives. The next sessions will provide some techniques and procedures for ensuring the reality of objectives. For the moment, it is wise to be cautious and conservative in stating objectives. As an illustration, perhaps it will be more effective to sponsor events for the teenagers every weekend, rather than once a month. On the other hand, the planner and community group may find that sponsoring the monthly events taxes them and their resources to the limit or beyond.

SESSION SEVEN
WORKSHEET 1

Exercise on Characteristics of a Program Objective

For each of the following statements, put an X in the space beside each statement that has these three characteristics: *target group*, *specific statement of result* to be accomplished, and *measurable terms.*

1. ______ Establish alcoholism referral system in the five largest police departments in this State.

2. ______ Provide alcohol abuse prevention training to school teachers.

3. ______ Add one psychologist to the treatment center's clinical staff as a half-time consultant.

4. ______ Reduce alcoholism to a level acceptable to the public.

5. ______ Conduct a campaign to increase public awareness of alcohol-related problems.

6. ______ Increase by two the number of community groups voluntarily contributing goods or services to the halfway house on a regular basis.

7. ______ Establish a staff benefit plan that is acceptable to both board of directors and staff.

8. ______ Explore formation of a State halfway house association.

9. ______ Assign additional counselors where needed.

10. ______ Reduce the unemployment rate for the residents of the halfway house by 50 percent.

SESSION SEVEN
WORKSHEET 1

You should have placed an X before statements 1, 3, 6, 7, 10.

Take another look at any you missed. Do those statements tell you specifically who the target group is, what the expected result is, and how it is to be measured?

The fourth characteristic of a useful objective is the *time frame*; that is, we are told exactly *when* the result will happen, or *by what date* it will be completely accomplished.

Which of the following statements specify a clear time frame?

1. As soon as possible.
2. By the last day of each month.
3. Immediately.
4. When feasible.
5. By July 1, 1983.

Answer: ______________________
(Number(s))

SESSION SEVEN
WORKSHEET 1

Numbers 2 and 5 specifically state by what time, or date, we could expect a result to happen. The other statements don't tell us how soon is possible, or when is immediately (today? this week?), or how soon feasible is.

Useful objectives must specify when a result will happen by stating a date or giving a number of days, months, or years.

SESSION SEVEN
WORKSHEET 1

List below the four characteristics of a useful objective.

1. ______________________________

2. ______________________________

3. ______________________________

4. ______________________________

SESSION SEVEN
WORKSHEET 1

The four essential characteristics of a useful program objective are the following:

Identifies the *target group*,

states specifically the *result* to be accomplished,

in *measurable terms*, and

identifies *when* the result will happen.

The order in which you listed them is not important, as long as it is clear what is being stated in measurable terms.

SESSION SEVEN
WORKSHEET 1

Now try to find each of the four characteristics in the objective below.

Objective:

Provide 80 hours of inservice training annually

to all clinical staff members within five years.

1. Underline the parts of this objective that identify the target group.
2. Double underline the parts that state the intended result.
3. Place a box around the parts that are measurable.
4. Circle the time frame.

SESSION SEVEN
WORKSHEET 1

Your answer should look like this.

Provide 80 hours of in service training annually

to all clinical staff members within five years.

SESSION SEVEN
WORKSHEET 1

Now do the same with the following objectives.

1. Underline the target group.
2. Double underline the specific result intended.
3. Put a box around the measurable parts.
4. Circle the time frame.
    - A. Provide medical and psychological screening services for all treatment applicants in this program within two years.
    - B. Establish in this agency a statistical record-keeping system that is consistent with State association standards by the beginning of the next budget year.
    - C. By September 30, 1981, provide 20 hours of training to each of 150 shop supervisors in identifying and documenting unsatisfactory job performances to ensure appropriate referral to company Employee Assistance Programs.

SESSION SEVEN
WORKSHEET 1

Your answers should be marked like these.

A. Provide medical and psychological screening facilities for all applicants for treatment in this program within two years.

B. Establish in this agency a statistical record-keeping system that is consistent with State association standards by the beginning of the next budget year.

C. By September 30, 1981, provide 20 hours of training to each of 150 shop supervisors in identifying and documenting unsatisfactory job performances to ensure appropriate referral to company Employee Assistance Programs.

SESSION SEVEN
WORKSHEET 2

Writing Program Objectives from Simulated Community Goals

Goal Statement: The goal of a pilot prevention program is to provide information to the senior citizen population about the harmful effects of consuming alcohol while taking medication.

Your group task:

1. Work together to write two program objectives from the above goal statement.
2. Choose a reporter to record your objectives on a piece of flipchart paper for presentation to the large group.
3. For each objective on the flipchart paper,
   - Underline the parts of each statement that identify the target group.
   - Double underline the parts that state the intended results.
   - Place a box around the parts that are measurable.
   - Circle the time frame.

Objective #1: ____

____

____

____

____

Objective #2: ____

____

____

____

____

SESSION SEVEN
WORKSHEET 3

Writing a Program Objective for Back Home Problem

- You have 10 minutes to formulate a program objective from the goal statement you used for your "back home" problem. (Session 6, Worksheet 1, page 58).

Program Objective: ______________________________

1. Underline the parts of this objective that identify the target group.
2. Double underline the parts that state the intended results.
3. Place a box around the parts that are measurable.
4. Circle the time frame.
    - At the conclusion of this task, share the objective with your dyad partner.

Outline of Program Evaluation Design

Often people think of evaluation as the last activity the planner engages in after the plan has been implemented. But evaluation begins as soon as the goal statements and program objectives have been written. The goal statement(s) identifies the broad areas of concern; the program objectives state what the planner will do and how long it will take to accomplish the stated results; the third link—the evaluation design—includes the methods and procedures the planner uses to determine whether or not he/she has succeeded in completing the task.

An outline of the evaluation design should include the following:

- the types of information that should be collected to determine whether program objectives have been achieved;
- a plan for collecting the necessary information; and
- the date on which the evaluation findings will be reported so that the results can assist the planner in making necessary revisions in the existing plan or other decisions about the program.

These parts of a program evaluation design should have a familiar tone, since they have already been encountered in the assessment component. A needs assessment is, in fact, a particular kind of evaluation activity.

Session VIII

Program Design: Choosing a Strategy

Synopsis: This session provides a model to help participants choose a strategy for carrying out the program objective(s). Participants focus first on identifying possible strategies; next on choosing the strategy that will accomplish the objective with the fewest or least important undesirable side effects; and then on identifying the resources necessary to carry out the strategy chosen.

Objectives: Participants will:

- apply the four basic steps provided by the training program in choosing a strategy, and
- complete an Agency and Community Resource Inventory.

Reference Information: Decision Model for Selecting a Strategy 78

Worksheet 1: Strategy Selection Exercise 80

Reference Information: Agency and Community Resource Inventory Guidelines 82

Worksheet 2: Agency and Community Resource Inventory Exercise 83

Worksheet 3: Strategy Selection and Resource Inventory for Back Home Problem 86

SESSION EIGHT
REFERENCE INFORMATION

Decision Model for Selecting a Strategy

A *strategy*, as the term is used here, is "the science and art of employing the essential forces or resources to provide the maximum support to some adopted policy." It is the *how* for accomplishing objectives and goals.

The *decision model* offered here for selecting a strategy has four parts.

Part One: A *brainstorming* session and listing of all possible ways an objective might be attained. All suggestions are listed as they are made. All suggestions made are equally acceptable; no judgments about the quality of the suggestions are to be made at this stage.

Part Two: *Application of quality criteria* to the list produced in brainstorming. Now judgments are made about the quality of each suggested strategy. The following criteria should be used:

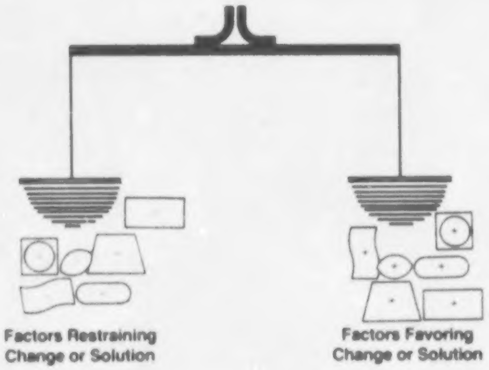
- Is the suggestion *complete*? Does it fully address the objective?
- Is it *coordinated* (or can it be coordinated) within itself, with other suggestions, and/or with what already exists?
- Is it *flexible* enough to accommodate possible future shifts in emphasis?
- Is it *simple* enough that it can be accomplished without a disproportionate amount of effort?
- Is it *explicit* enough that everyone who reads it will understand it the same way?

Suggestions that do not meet all of the quality criteria should be either discarded—or reworded so that they meet the criteria.

Part Three: *The prediction of probable consequences of the remaining suggestions.* In order to avoid being surprised later, because an acceptable strategy did all it was supposed to do—and some it wasn't intended to—the planner should predict two kinds of consequences for each acceptable strategy.

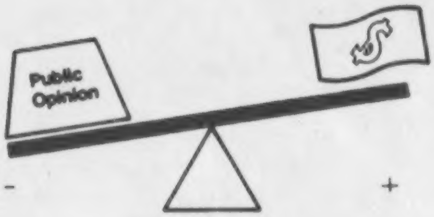
- *Immediate or direct consequences* of a strategy are the expected ones. They are the consequences which are sought. They are important and relatively easy to predict.
- *Indirect consequences or side effects of a strategy* are ones which occur when a strategy is implemented, but they may not be intended or expected. Predicting them is difficult if the planner is not thoroughly familiar with the parts of the community involved and affected; e.g., what was done before and is being done now, by whom, and with what results. Side effects can be favorable, and if they are, they should be capitalized on as soon as they are identified. They can also be unfavorable (or actually destructive) in their results. As soon as damaging or potentially damaging side effects are identified, steps should be taken to eliminate or decrease their undesired impact. Knowing the kinds of things which raise hackles among key people and segments of the community helps tremendously in making valid predictions of outcomes, and thereby permits the avoidance of most unpleasant consequences. Conversely, capitalizing on the preferences of key community people and groups gives the strategy extra support.

Part Four: *Setting priorities among the acceptable strategies* on the basis of the strengths of their advantages and disadvantages. Advantages and disadvantages can also be described as positives and negatives—factors in favor of the strategy and factors working against it—and these factors can be given relative values or weights to help decide on the merit of a given strategy, or to choose among strategies. This kind of weighting procedure can be diagramed as a fulcrum effect.

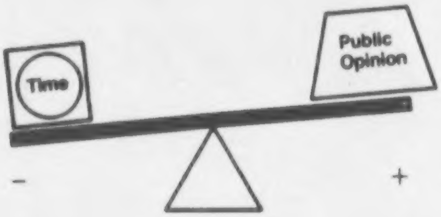

Factors Restraining Change or Solution
Factors Favoring Change or Solution

If the positives outweigh the negatives the balance will tilt toward a positive outcome and the strategy will be successful. For example an objective may be to raise $1,000 in matching funds, within 2 months, for a pilot prevention program for youth. Suggested strategies range from a fund raising party featuring topless dancers to a bake sale.

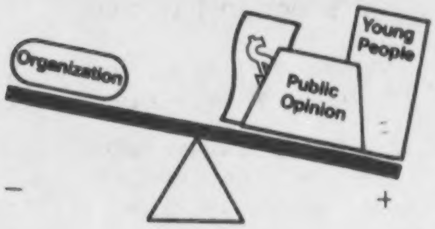
On the plus side, the party strategy might be very lucrative. On the minus side, it would be so offensive to so many elements in the community, from the agency director to the volunteer women's groups, that the minus factors would at least outweigh the pluses.



The bake sale might not offend anyone's sensibilities, but it would take a tremendous number of cookies sold to raise $1,000 within the projected 2-month time frame.



A third suggested strategy is to organize a work bank. Young people would do odd jobs for community members and the proceeds would go to the fund-raising effort. This would require some organization to carry out on time, but would be sufficiently lucrative, would meet with community approval, and would have the added benefit of involving young people in a positive activity.



Therefore the third strategy is the one selected.

The key feature of this decision-making technique is to assign some sort of weight or value to the factors in question, whether by giving them numerical values or simply labeling them as, for example, major, moderate, or insignificant in importance.

This decision-making method, which is similar to a Force Field Analysis, can be used in any decision-making situation that involves a weighing of positive and negative factors. For example, a similar procedure was used in selecting the problem focus, in asking, "how important is this problem for this community?" It could be used in choosing a goal, by analyzing what positive and negative factors exist that contribute to the status quo, and what additional positive factor or force could tip the balance in the desired direction (or prevent a shift toward a less desirable status or situation). It can be used in choosing among several objectives, balancing expenditure of time and resources against impact on the problem or furtherance of the goal.

Because many of the factors that must be considered in community planning are intangibles that can't be measured in numbers or dollars or any absolute terms, the knowledge of the community that the planner and planning group have is of crucial importance in recognizing and weighing the relative strength and direction of the forces or factors involved. The strength of this decision-making technique is that it helps take decisions out of the realm of the vague and puts them on a more solid foundation.

SESSION EIGHT
WORKSHEET 1

Strategy Selection Exercise

Directions: Read the reference information starting on page 78, Decision Model for Selecting a Strategy.

Then, as a group, apply the Strategy Decision Model to the objective below, so that a strategy for implementing the objective can be selected. You will have 40 minutes to complete the exercise.

Objective: Within one year, the incidence of harmful effects (i.e., those requiring medical treatment) from combining alcohol and medication, will be decreased by 30 percent among the APIE County population aged 60 and above.

1. Select a recorder to list on the flipchart all suggestions as you brainstorm strategies for meeting this objective. (Maximum time: five minutes.)
2. With each group member taking a different quality criterion for special attention, examine the brainstormed list to eliminate those which do not meet the criteria.
3. List the remaining suggestions, each on a separate flipchart. Divide your group so that one or more person works on each acceptable suggested strategy. Then, using the format below, predict the probable consequences of each of the acceptable strategies from your group.

NOTE: Use what you know about APIE County as the basis for your predictions. Where it is necessary or appropriate, draw on your knowledge of your own community to add information that might help in identifying possible side effects.

Acceptable Strategy: ______________________________

____

Direct consequences of this strategy. (Be specific.)

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

e. ______________________________

Indirect consequences of this strategy. (Be specific.)

a. ______________________________

b. ______________________________

c. ______________________________

d. ______________________________

e. ______________________________

4. When the indirect consequences for all of the alternatives and acceptable strategies have been listed, go back to that list and mark each indirect consequence with a + sign (+ = positive factor or force) or a - sign (- = negative factor or force).

5. Review the indirect consequences list once again and mark the weighting you give to each of the factors. Use either "major," "moderate," "insignificant," or a numerical value to represent your weighting of the strengths of the consequences.

6. Examine the relative strengths of the opposing forces for the strategy(s) you have been working on and make a decision with the other group members about which strategy should be chosen to attain the objective.

NOTE: This same process is followed for the direct consequences. With them, however, the positive and negative consequences and their strengths are usually more easily recognized. Therefore, the focus here has been on the important but frequently overlooked indirect consequences of a strategy.

SESSION EIGHT
REFERENCE INFORMATION

Agency and Community Resource Inventory Guidelines

After a strategy has been chosen for meeting an objective and its goal, a program planner identifies the main activities which must be done in carrying out the strategy. Then, he/she lists the resources for each activity and takes an inventory of their availability.

As the term is used here, the word, *activity*, describes a rather broad process or function in a specific area of work which must be done to accomplish a desired objective or outcome. Each activity is made up of groups of related *tasks*. For example, "making a presentation to the Rotary Club on local alcoholism services" may be an activity that some program worker intends to perform. Among the tasks to be done in completing that activity are these: finding out the characteristics of the audience; selecting appropriate content and form for the presentation; preparing the presentation; identifying and collecting the equipment and materials needed for the presentation (e.g., film projector, screen, and film, pamphlets); testing the equipment, checking on the availability of window shades and the placement of electrical outlets, etc.

Before the planner starts a resource inventory, he/she:

- *reviews* the objective and strategy;
- *lists the major activities* required to carry out the strategy;
- checks the list of activities or *reorders* it so that the activities are listed *in the sequence* in which they are done; and
- specifies for each major activity the *kinds of resources* needed to complete the activity.

Although there are many possible ways for planning a community resource inventory, key questions to ask about resources are:

1. What facilities, equipment, information, expertise, personnel, money are required to carry out the job successfully; i.e., as it is stated in the objective(s)?
2. Which of the required resources are on hand and available when needed? Which resources must be mobilized? Which of the resources cannot be obtained?
3. How important to the job are the unavailable resources? What other resources can be substituted for the unavailable resources?
4. Based on this resource inventory, is the proposed project attainable within the agency's scope of resources?

There are many ways that the identified, necessary resources can be grouped. Sometimes an agency or a project requires some particular system of categorization. However, the following basic grouping pattern is one that many planners find helpful: facilities, equipment, supplies, personnel, and money. Each of these broad categories can of course be subdivided if desired (e.g., "personnel" might be separated into several different kinds of personnel: volunteers and paid staff; professionals and paraprofessionals; clerical workers, maintenance staff, administrators, and treatment staff).

Whatever categories are specified, the resource inventory must be done with an eye to reality. Just because a resource is known to exist in a community, the planner should not assume that it will be made available for a given "worthy" project. The candid planner will probably find that a great many important resources must be mobilized. That's really what a community effort is all about, anyway.

Some planners find it more logical and productive to take general resource inventories for several acceptable strategies before selecting one strategy. That is all right; the same principles and procedures apply. After the strategy is chosen its activities are listed and the inventory proceeds as described above.

SESSION EIGHT
WORKSHEET 2

Agency and Community Resource Inventory Exercise

Directions: In doing this exercise, draw again on your own knowledge and experience as well as what you know about APIE County.

You will have 20 minutes to complete this form as an individual. When time is called, exchange your inventory with one or two others in your group. Critique each other's inventories and give feedback on them, using the Agency and Community Resource Inventory Guidelines for reference.

Strategy selected by the group in the last exercise (Worksheet 1):

The major activities that must be done to implement the selected strategy (Be specific):

SESSION EIGHT
WORKSHEET 2

Activity No. 1: ______________________________

____

____

Complete the inventory of the resources needed to do that activity. (If you need more space, use another sheet of paper.)

	Required Resources	On Hand	To Be Mobilized	Not Available
FACILITIES				
EQUIPMENT				
SUPPLIES				

SESSION EIGHT
WORKSHEET 2

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

SESSION EIGHT
WORKSHEET 3

Strategy Selection and Community Resource Inventory for Back Home Problem

In the following exercise you will focus on developing a strategy for your back home problem objective as developed in Session Seven. You will then inventory the agency and community resources needed to carry out this strategy.

Part I—Brainstorming Possible Strategies

Write the objective(s) you selected for your back home problem on a flipchart page and ask your small group to brainstorm possible strategies to carry out the objective(s) in the space below. A two-minute limit is set for this activity.

Part II—Applying Quality Criteria

Consider the suggestions you have listed according to the following criteria: completeness, flexibility, simplicity, explicitness. (Refer to Decision Model, page 78, if necessary.) Discard or rephrase any suggested strategies that don't meet the criteria.

Part III—Analyzing Direct and Indirect Consequences

Choose the strategies and list them on the next page.

Part IV—Weighting Consequences

Label each listed consequence positive (+) or negative (-) and assign a weight to its importance or force. Use a numeric scale or labels such as "major," "moderate," "insignificant."

Repeat III and IV for each acceptable strategy.

Part V—Developing Resource Inventory

Take the "best" strategy, the one with the fewest negative and the most positive weights. List the major activity or activities involved in carrying it out in the spaces provided on the following pages. Next, list the facilities, equipment, supplies, personnel, and money needed to carry out the activity and check off whether each item is on hand, needs to be mobilized, or is totally unavailable. The work you do at this stage is necessarily preliminary because of the time constraints of the session and because you will probably need further information, but it provides a direction in which to proceed later in the training program and back at your own agency.

SESSION EIGHT
WORKSHEET 3

Possible Strategies	Consequences	Force + or -	Weight*
	Direct		
	Indirect		
	Direct		
	Indirect		
	Direct		
	Indirect		
	Direct		
	Indirect		
	Direct		
	Indirect		

*Weight (+1, +2, +3, -1, -2, -3 or Major/Moderate/Insignificant)

SESSION EIGHT
WORKSHEET 2

(Extra copy for use back home)

Activity No. 1: ____

____

____

Complete the inventory of the resources needed to do that activity. (If you need more space, use another sheet of paper.)

	Required Resources	On Hand	To Be Mobilized	Not Available
FACILITIES				
EQUIPMENT				
SUPPLIES				

SESSION EIGHT
WORKSHEET 2

(Extra copy for use back home)

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

SESSION EIGHT
WORKSHEET 3

(Extra copy for use back home)

Activity No. 2 ____

____

____

Complete the inventory of the resources needed to do that activity. (If you need more space, use another sheet of paper.)

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

SESSION EIGHT
WORKSHEET 3

(Extra copy for use back home)

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

Session IX

Program Design: Time-Phased Action Plan

Synopsis: A time-phased action plan spells out the tasks related to each activity needed to carry out the selected strategy; the order, phasing schedule, and coordination of tasks; and the person(s) responsible for carrying out each one. This session teaches participants an easy method of going from a selected strategy and resource inventory to a detailed performance plan.

Objective: Participants will:

- develop a time-phased action plan to carry out one of the major activities necessary for implementing a selected strategy.

Reference Information: Time-Phased Action Plan Guidelines 94

Worksheet 1: Developing a Time-Phased Action Plan 96

Worksheet 2: Time-Phased Action Plan for Back Home Problem 102

Time-Phased Action Plan Guidelines

A time-phased action plan is a means for the planner to show in graphic forms what his/her plan involves; who does it, and when it is to get done.

Preparation for its construction involves these steps:

- a review of the *program objectives*
- a review of the *strategy selected* for implementing each of the program objectives
- a *listing of the major activities* which must be done to carry out each strategy
- a *reordering of the major activities* so that they are listed in their order of occurrence
- a *listing of the tasks* which comprise each of the major activities
- a *reordering of the tasks* in their order of occurrence
- a *review of the community resource inventory*

Developing or constructing a time-phased action plan involves these steps:

- specifying *what* must be done (i.e., the activity tasks)
- identifying *who* the persons are that will be responsible for doing each task, and
- determining *when* each task is to be completed.

The planner draws on the knowledge and experience that he/she and other available, reliable people have about:

- the time, materials, and equipment requirements for completing each task (e.g., and typists about typing time and equipment);
- the possibility of a more economical use of resources by combining or overlapping some tasks and activities, or parts of them (e.g., although they are listed sequentially, the sequence most often refers to the time they are to start). Several activities are usually going on at the same time, and the day a volunteer is available he/she may work on several tasks in one or more activity;
- the knowledge, experience, skill, and commitment level of the people involved;
- the kinds of natural, local, mechanical, personal—and whatever—kinds of events, circumstances, conditions that may affect schedules (e.g., blizzards, holidays, mechanical breakdowns, illnesses); and
- any need to revise an action plan once it has been developed.

An action plan can be used as:

- an *outline* for describing a project or program
- a *checklist* for determining progress
- an *indicator* of problems, and
- a *possible clue* about which parts of the plan need changing to correct the problems (e.g., X's tasks are most often done late or wrong; certain kinds of tasks usually slow down the schedule).

An action plan should provide at a glance the information a planner needs. Therefore, it should fit his/her need for detail. A plan that is too broad often doesn't give enough information; important pieces are often overlooked. A plan that is too detailed can be overwhelming to produce and to revise—and it can depress enthusiasm, especially among community participants in the project or program. Like Goldilocks, a planner has to try out several levels to find the specificity level that is "just right" for a given project.

The designer of a time-phased action plan must be:

- thorough,
- definite, but
- willing to revise, and above all,
- realistic.

Developing a Time-Phased Action Plan

Directions

1. Read Reference Information on page 94, individually.
2. For 5 minutes, work with your partner selecting one of the strategies and resource inventories for two of the more complex activities you identified in Session 8. Develop a time-phased action plan on the following pages.

   Draw from what you know about APIE County and from your own background.

   Be specific as is possible and seems appropriate to allow the plan to serve all of its possible uses for the planner.
3. If you run into a snag, please ask the trainers to help you get around it.
4. Since this is a first draft, neatness does not count. Don't be afraid to add, delete, combine, or separate items as you work through the plan. Just leave a little more space than you would ordinarily to allow for insertions as you work. By all means, use a pencil as you draft your plan.

SESSION NINE
WORKSHEET 1

1. *The objective:* Within one year, the incidence of harmful effects (i.e., those requiring medical treatment from combining alcohol and medication), will be decreased by 30 percent among the APIE County population aged 60 and above.

2. The strategy selected is______________________________

   ____

   ____

3. The activities required to implement this strategy are:

   ____

   ____

   ____

   ____

   ____

   ____

   ____

   ____

   ____

   ____

4. Mark #1 and #2, on the list above, the two activities you both select as the basis for your time-phased action plan.

5. *List the tasks* included in each of the two relatively complex activities you have selected.

Activity #1 ____________________

What the Tasks Are	Who Will Do Them

For each activity, use the left margin to number the tasks in the order in which they are to occur.

SESSION NINE
WORKSHEET 1

Activity #2____

What the Tasks Are	Who Will Do Them

For each activity, use the left margin to number the tasks in the order in which they are to occur.

SESSION NINE
WORKSHEET 1

6. The time stated for reaching this objective (see #1, the objective, above) is one year, so 12 months is all the time available. They can be any 12 months (January through December; May 1977 through April 1978, etc.), depending on when the project is started.

For each activity, list below the tasks as you have ordered them (number 1 is to be started first, etc.). Then label the other columns with the first six months of the year (first column names the first month of the project, etc.).

Remember that portions of different tasks can overlap (e.g., some people may be making phone calls while others are typing something).

FROM HERE ON, PLEASE USE PENCILS ONLY

Take into account the results of the resource inventory. Opposite each task number, draw a line through the month(s) (or part(s) of the month(s)) that the task will be happening. Put an X at the end of the line to represent completion of the task. IT IS MORE USEFUL IN THIS EXERCISE TO DO ONE ACTIVITY ALL THE WAY THROUGH CAREFULLY THAN TO RUSH THROUGH TWO OF THEM.

Task	19____						19____ Next Six Months
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							

12							
13							
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29							
30							

SESSION NINE
WORKSHEET 1

SESSION NINE
WORKSHEET 2

Time-Phased Action Plan for Back Home Problem

Directions:

Be as precise and as realistic as possible.

Problem Statement: ______________________________

Goal Statement: ______________________________

Objectives: (List at least two)

No. 1 ______________________________

No. 2 ______________________________

No. 3 ______________________________

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Strategy selected for achieving objective no. ___ : ______________________________

____

____

Major activities to be done in carrying out the selected strategy: (List them below, then number them sequentially in the left margin.)

____

____

____

____

____

____

____

____

____

____

Use resource inventory you developed in Session Eight for Activities 1 and 2. If you did not complete that exercise or prefer to choose different activities for your time-phased action plan, enter them above, and use the forms on the following pages in preparing the resource inventory for them.

SESSION NINE
WORKSHEET 2

Activity No. 1: ____

Complete the inventory of the resources needed to do that activity. (If you need more space, use another sheet of paper.)

	Required Resources	On Hand	To Be Mobilized	Not Available
FACILITIES				
EQUIPMENT				
SUPPLIES				

SESSION NINE
WORKSHEET 2

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

SESSION NINE
WORKSHEET 2

Activity No. 2: ____

____

____

Complete the inventory of the resources needed to do that activity. (If you need more space, use another sheet of paper.)

	Required Resources	On Hand	To Be Mobilized	Not Available
FACILITIES				
EQUIPMENT				
SUPPLIES				

SESSION NINE
WORKSHEET 2

	Required Resources	On Hand	To Be Mobilized	Not Available
PERSONNEL				
MONEY				
OTHER				

SESSION NINE
WORKSHEET 2

List selected Activity No. 1: ______________________________,
its tasks, and who will do each.

Tasks	Who Will Do Them

In the space at the left, *number the order* in which the tasks are to be done.

SESSION NINE
WORKSHEET 2

List selected Activity No. 2: ______________________________,
its tasks, and who will do each.

Tasks	Who Will Do Them

In the space at the left, *number the order* in which the tasks are to be done.

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SESSION NINE
WORKSHEET 1

6. The time stated for reaching this objective (see #1, the objective, above) is one year, so 12 months is all the time available. They can be any 12 months (January through December; May 1977 through April 1978, etc.), depending on when the project is started.

For each activity, list below the tasks as you have ordered them (number 1 is to be started first, etc.). Then label the other columns with the first six months of the year (first column names the first month of the project, etc.).

Remember that portions of different tasks can overlap (e.g., some people may be making phone calls while others are typing something).

FROM HERE ON, PLEASE USE PENCILS ONLY

Take into account the results of the resource inventory. Opposite each task number, draw a line through the month(s) (or part(s) of the month(s)) that the task will be happening. Put an X at the end of the line to represent completion of the task. IT IS MORE USEFUL IN THIS EXERCISE TO DO ONE ACTIVITY ALL THE WAY THROUGH CAREFULLY THAN TO RUSH THROUGH TWO OF THEM.

Task	19						19____ Next Six Months
1							
2							
3							
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SESSION NINE
WORKSHEET 1

Session X

Implementation: Program Management and Coordination

Synopsis: This session is designed to allow the planner to explore some management skills used in implementing a community program and to explore the importance of establishing and using information exchange channels to keep all participating parties informed on the progress of an established plan. The ongoing role of evaluation and revision is also discussed.

Objectives: Participants will be able to:

- describe several management skills that can assist them in implementing a planned program; and
- describe an information exchange channel that can be used to keep participating parties informed on the progress of an established plan.

Reference Information: Implementation 114

Worksheet 1: Management/Monitoring/Supervising Skills 115

Worksheet 2: Information-Exchange Channels 117

SESSION TEN
REFERENCE INFORMATION

Implementation

Naturally the actual implementation tasks of carrying out any project or program are specific to that project or program and so cannot be discussed as part of a generic planning process. However, the implementation of any program does include four aspects or activities that can and should be considered as part of the planning procedure. These are the following:

- Managing/Monitoring/Supervising performance of assigned activities.
- Establishment and use of information-exchange channels.
- Coordination of participating resources.
- Adjusting the designed program plan as necessary.

SESSION TEN
WORKSHEET 1

Management/Monitoring/Supervising Skills

Directions

- This worksheet contains two sections.
- Section 1 consists of a short self-assessment quiz on your management skills. Use approximately 10 minutes to complete the quiz.
- Section 2 consists of a list of activities the program manager should consider in implementing an alcoholism service project.
- At the end of 10 minutes, a discussion will be convened by the trainer to allow you to react to the quiz and activities listed in Section 2 of this worksheet—or omitted from it.
- This worksheet represents a Management Objective (MBO) approach. Consider whether or not such an approach is suitable or applicable to your agency and the groups you work with.

Section 1

Part I: Making Assignments

Given a program or a task to implement, how well can you explain the various parts of the program or task so that others know exactly what is expected of them?

1. When you assign someone a job, do they know and understand exactly what they are expected to do?

_______yes _______no

2a. After the job has been assigned to someone, do you ask that person to paraphrase the assigned task for you?

_______yes _______no

2b. If the answer to #2a is yes, are the paraphrases accurate?

_______a) always _______c) rarely
_______b) most of the time _______d) never

3a. Do you keep written record of the assigned activities or tasks, including the anticipated completion dates and the actual completion dates?

_______yes _______no

3b. If the answer to #3a is yes, are the anticipated completion dates and the actual completion dates:

_______a) almost exactly the same _______c) rarely close
_______b) reasonably close _______d) never close

Part II: Monitoring Events

4a. When assigning tasks to others do you build in formal checkpoints to see how the events are progressing prior to the completion date?

_______yes _______no

4b. If the answer to #4a is yes, do you give formal feedback on whether or not events are proceeding according to plans?

_______a) always _______c) rarely
_______b) most of the time _______d) never

5. Are you able periodically to take all the parts of a task or program and lay them out to determine the successes and failures, strengths and weaknesses, of the whole task or activity?

_______a) always _______c) rarely
_______b) most of the time _______d) never

6. Are you able to keep everyone involved in the project/program informed about the progress of the overall project/program?

_______a) always _______c) rarely
_______b) most of the time _______d) never

SESSION TEN
WORKSHEET 1

7. Does it take more time and energy to explain to people the progress of the task than it does to complete the actual task?

_______ a) always _______ c) rarely

_______ b) most of the time _______ d) never

8. If the answer to #7 is a or b, why? (Explain briefly.)

____

____

____

Part III: Management of Personnel and Participating Agencies

Given the best plans and strategies, a great deal of the success of the plans will depend upon your ability as a manager to relate to other people.

9. How familiar are you with the skills and abilities of the people who work with you?

_______ a) very familiar _______ c) not sure

_______ b) familiar _______ d) not familiar at all

10. How often do you give positive feedback to a staff person or participating agency for a job well done?

_______ a) very often _______ c) seldom

_______ b) often _______ d) not at all

11. Do you provide written positive feedback to staff or participating agency on occasions other than their formal evaluations (e.g., letters of commendation)?

_______ a) very often _______ c) seldom

_______ b) often _______ d) not at all

Section 2

When called upon to take the lead responsibility to manage a project or program, the community program developer should consider the importance of the following activities.

- Outlining explicitly the assigned activities others are expected to undertake.
- Getting feedback from those assigned the task on whether or not they fully understand what is expected of them.
- Keeping a written record of who is assigned a task, the anticipated completion date, and the actual date it is completed.
- Building in formal checkpoints when assigning tasks, to see how the tasks are progressing.
- Providing formal feedback to those who are assigned the task whether or not the tasks are proceeding according to plans.
- Periodically taking all parts of a task, project, or program and laying them out to determine the successes and failures, strengths and weaknesses of the whole project/program.
- Keeping everyone involved in the project/program informed about the progress of the overall project/program.
- Being able to assess the skills and abilities of the people who work with you.
- Providing positive feedback to people for jobs well done on occasions other than formal evaluations (e.g., letters of commendation).

Information-Exchange Channels

Directions

This worksheet introduces an information-exchange system that can assist in keeping program participants informed on how a project or program is proceeding. There is no point in completing the worksheet during the training program; it is to be read and discussed for applicability in your own agency.

Step 1: List all participating agencies or groups and briefly list their activities and the anticipated completion date of each.

Step 2: Have each agency or group briefly list the tasks it engaged in most recently while proceeding toward the completion of its assigned activities. Also have each agency briefly state whether it is proceeding according to plans or encountering difficulties.

Step 3: Inform each participating party how many copies of its reports are needed, and when, where, and to whom they are to be submitted. Also encourage each party to maintain a folder of all reports from other participating agencies or organizations and bring it to scheduled meetings.

Step 4: Schedule periodic meetings of all participating parties. Prepare and circulate agendas in advance.

Step 5: As the coordinator or team leader, or program manager, be sure to keep an up-to-date file on all reports and have a supply of blank forms for distribution.

SESSION TEN
WORKSHEET 2

Information Exchange Form

Report for: ____________ (month, year) ____________________ (agency/organization) Contact Person: ____________

Activities	Completion Dates	Tasks Accomplished To Date	Problems Encountered

SAMPLE INSTRUCTIONS:

Each agency or group is responsible for sending three copies of its completed form to the other agencies by the 20th of each month. A debriefing meeting will be held on the last working day of each month. Each contact person or a representative should attend that meeting.

Session XI

Program Evaluation

Synopsis: This session focuses the participants' attention on the need for conducting an evaluation of the program developed. It brings together many activities that were considered in earlier sessions and shows how they relate to and contribute to the evaluation effort. Suggested techniques for conducting informal, indirect, or process evaluation are offered along with guidelines for selecting an evaluator to assist in the design and execution of their back home evaluation effort.

Objectives: Participants will:

- identify three reasons for program evaluation;
- identify three nonformal approaches to program evaluation;
- complete an evaluation readiness checklist;
- list one advantage and one disadvantage for each data-gathering technique described in the session;
- list three advantages and three disadvantages of using an outside evaluator;
- complete a set of evaluation worksheets for one objective of their back home problems;
- list three steps that would increase the objectivity of their evaluation effort; and
- list three planning activities that would contribute to the effectiveness of their program evaluation.

Reference Information: Reasons to Evaluate 121

Reference Information: Approaches to Program Evaluation 122

Reference Information: Brief Summary of Common Evaluation Techniques 128

Worksheet 1: An Evaluation Readiness Checklist 130

Worksheet 2: Evaluation Planning Sheet One . . 131

Worksheet 3: Evaluation Planning Sheet Two . . 134

Worksheet 4: Taking Stock of Evaluation Planning 136

Reference Information: Evaluation Data 139

Reference Information: Use of an Outside Evaluation Consultant 140

Reference Information: Objectivity/Planning Suggestions for Evaluation Methods 141

Reasons to Evaluate

There are certain basic reasons why an individual, organization, or agency should plan to conduct an evaluation of any program being proposed.

First, the evaluation can assist the agency in determining whether or not the program objectives were met. The extent to which an evaluation effort can assist in determining the effectiveness of a program in attaining its object is directly related to how clearly the objectives of the program have been defined.

Second, program evaluation can help pinpoint not only the weaknesses of the program but also its strengths. Such an identification is helpful in revising the program because it provides the factual information upon which a program director can base those decisions. Perhaps funds or personnel could be added to strengthen a weak area or perhaps that area should be dropped from the program. Whatever the decision, it is best made with information collected specifically to answer such questions.

Third, program evaluation can help determine whether a program is costing too much in relation to the benefits derived from the program. Special care must be taken in deciding this when dealing with social problems; there is often a tendency to rely too heavily on what dollar figures say, forgetting that other important factors or benefits should be taken into consideration.

Fourth, evaluation data can serve an effective public relations function by providing the program director with the information needed to justify the continuation or expansion of the program. Such information can be invaluable when dealing with public or private officials who have some say as to the money a program will be allotted from the budget they control.

Fifth, like many other aspects of the planning process, designing and carrying out program evaluation requires much more than can be provided in this single session. In other portions of the training program in which evaluation issues and activities were discussed, it was recommended that persons who are qualified and experienced in program evaluation be used as consultants. That recommendation is repeated strongly here. When a planner depends on evaluation data to indicate the effectiveness of a program, it stands to reason that the design of the evaluation instruments, methodology, and the evaluation itself should not be left in the hands of amateurs or be based on trial and error learning.

Furthermore, it is usually very difficult for a person who has other significant ties to a program to overcome his/her personal or professional involvements and become as objective as an outside evaluation consultant generally can be.

Approaches to Program Evaluation

The evaluation component of this training program focuses on action-oriented, applied approaches to evaluation rather than on formal evaluation or research-oriented evaluation. Both approaches to evaluation are entirely legitimate; they differ basically, however, in their intended purposes.

Formal evaluation or research may, incidentally, yield some practical application, but its primary purpose is usually to aid in the formulation of abstract predictions. The number of variables over which the evaluator has control is typically greater in formal evaluation than it is in informal or action evaluation. Similarly, the degree of control over the variables is more stringent in research or formal evaluation.

Because this training program is intended for persons actually working in the alcoholism services field, research or formal evaluation is not discussed further here. Instead, the content of this session centers on achieving an action-oriented, practical evaluation goal; namely, to provide information for program planning, development, or operation. Three approaches to this goal are discussed briefly below, together with some data collection techniques appropriate to each. Some of the techniques were touched on in the assessment component of this training program. They are repeated here because their usefulness is by no means limited to the collection of needs assessment data. It should be noted that the techniques mentioned can also be used in gathering research or formal evaluation data. (See Appendix A for references to books on evaluation.)

Informal Program Evaluation

What are the main characteristics of information program evaluation?

- Informal program evaluation is used in a setting other than a formal research study.
- It gathers and analyzes information about a program in its functional setting.
- It uses various methods, techniques, and instruments to focus the information-gathering process upon selected aspects of the program.
  - The construction and use of such instruments provides a common basis for comparing the responses of different individuals or other kinds of data sources related to the program or involved in it.

What are some common, useful techniques and instruments to use in doing informal program evaluation?

Four means for gathering program evaluation information that are discussed here are: using questionnaires and checklists, and conducting interviews and observations. They have been touched on in the assessment component, but further important comments are introduced in the context of planning for program evaluation.

Questionnaires

What should a planner or evaluator be aware of using questionnaires?

- A questionnaire is basically an attempt to standardize a set of questions about a particular topic.
- The topics of the questionnaire may be opinions, feelings, and attitudes or they may be cognitive or factual in nature, for example,
  - "How do you feel about third party payments?" "What do you think of giving money to a panhandler who obviously has the shakes?"
  - "How many clients entered the Riverlet Treatment Center during the month of August?" "What credentials does this agency require its alcoholism counselors to have?"
- Ordinarily, questionnaires are regarded as self-reporting instruments which may therefore be subject to the respondent's distortion or to misinterpretation.
  - The respondent to the questionnaire answers the questions (usually in writing) without the benefit of feedback of his/her interpretation of the question.
  - Therefore, it is imperative to make the questions as clear and precise as possible.

What two basic types of questions are there?

- Questions used in questionnaires can be "closed-ended" or "open-ended" questions. A questionnaire may consist entirely of one type or it may be a mix of both types.
- Closed-ended questions are those in which the evaluator (and/or questionnaire designer) have

deliberately limited the possible responses. For example,

- "Check whether you agree, disagree, or are uncertain about this item or point."
- "Does your agency regularly provide free parking for volunteer workers? Yes _____; No _____."
- "What hours is the clinic open on Saturdays?"

- The trick with closed-ended questions is to make as certain as possible that the right questions are asked and the right answers are provided for respondents to choose from.
  - What is "right," of course, goes back to the reason for which the question is being asked; i.e., What is the purpose of this evaluation activity? Who will use the data to make what decisions?
- Open-ended questions do not restrict the possible responses. They are often used to gather information on topics which may be somewhat affectively or subjectively oriented, or are otherwise unclear or loosely delineated. They represent an unstructured exploration of a topic on which responses may vary greatly because of differences in feelings and/or experiences.
  - Well phrased open-ended questions can produce a range of information from the persons questioned: a kind of respondents' self-identification of what they want to say on a topic.
- The difficulty with open-ended questions, however, comes in classifying and coding them, and also in interpreting the intensity of the responses.
  - Every respondent is likely to take a somewhat unique tack on open-ended questions, so trying to identify trends among all the respondents can be a demanding task for the evaluator.

Interviews

What are some characteristics of interviews?

An interview may involve either face-to-face or telephone contact between the interviewer and respondent.

- Either a face-to-face or telephone interview allows the interviewer to adapt the level of focus on a particular topic to the capability of the respondent to answer.
  - For example, questions can be rephrased; additional details or clarification can be asked for; or emotional tones can be responded to.
- Because there is direct interaction between the interviewer and the respondent (whether in person or by phone), the interviewer can note a number of incidental or extraneous behaviors and emotions which are not a planned part of an interview, but which may assist the evaluator in analyzing and interpreting the solicited interview data.
  - For example, "Most people had difficulty in understanding Question Five." "At least half the people wanted to know whether they had to answer Question Nine." "Several respondents thought that Questions Eight and Fourteen were the same." "Generally, people paused a fairly long time before answering Number Six."

What are the two basic types of interviews?

- Interviews can basically be classified as either "structured" or "unstructured" interviews, regardless of the medium through which they are conducted.
- Structured interviews are ones in which each question is carefully worded, and the interviewer is required:
  - to maintain precisely the wording of the questions; and
  - to ask the questions in the exact sequence provided in the questionnaire.
- Although it might seem easier to conduct a structured interview than an unstructured one, that is not necessarily so.
  - Respondents sometimes provide more information than a question asks for. They may resent being asked a later question which covers the information already given.
  - Interviewers to whom this happens sometimes resent "appearing stupid" by having to

ask for information that the respondent previously volunteered.

- Unstructured interviews permit the interviewers to change the wording or sequence of the questions in adaptation to the response potential of the respondents.
- Possible dangers which must be guarded against in unstructured interviews are wandering off the topics of concern or failing to ask about some of them altogether.
  - To avoid these possibilities, even persons conducting unstructured interviews systematically use interview instruments such as guides or checklists to make certain that no predetermined data are omitted.

Checklists

- Checklists have many uses in the planning process, but they are especially helpful in carrying out program evaluation procedures.

What are some advantages of using checklists in program evaluation?

- Checklists can be presented in quite simple formats.
  - Therefore, they can be used quickly and easily.
  - The data recorded on checklists can be easily tabulated.
- Checklists are particularly useful instruments for recording the incidence of such diverse data as attitudes, feelings, behaviors, skills, and events.
- The key point in designing a checklist to use in program evaluation is the realization that the apparent simplicity of the final product(s) is usually the result of a considerable amount of planning, designing, and redesigning.
  - A checklist of the items which collectively define the parameters of certain tasks, feelings, or events requires a thorough examination of what items are the subject of interest and how they will be identified.
- Since checklist items require only a check mark or a simple yes or no answer, the evaluator should exercise restraint in the number of items to be checked.
  - Each item response requires some degree of judgment and perhaps decision making. Therefore, more is asked of the respondent than mere marks on a paper.
  - The efficiency of a checklist, and probably the effectiveness of the responses, can be adversely affected by checklists that are too long or detailed. When that happens, the major advantage of using a checklist is lost.
- The major disadvantage of a checklist is the very limited amount of information provided by the responses.
  - There is no opportunity for respondents to qualify their responses.
  - A checklist is closed-ended; there is no opportunity for the respondent to volunteer additional information.

Observations

What characterizes observation as an evaluation technique?

- When used in program evaluation, observation must be organized, directed, systematic; and recorded.
  - That is, when the purpose of observation is to gather program evaluation data, observers do not simply "keep their eyes open" to what happens or does not happen.
- Observation as an evaluation approach can be either explicit and openly acknowledged, or unobtrusive and covert.
  - An observer may spend a day in the reception room of an alcoholism treatment agency. Those who pass through the room may or may not be told that he/she is an observer, and what is being observed.
- Regardless of the purpose of the observation, four basic questions should be answered in evaluating by observation.
  - What is to be observed? (E.g., What data are to be collected and how much of it?)
  - How will the observation(s) be recorded? (E.g., What instrument(s) will be used in recording the data?)

  - What methods will be used to maximize the accuracy of the observation(s)? (E.g., Will several observers be used? How often will observations be made?)
  - What relationship should exist between the observer and the focus of the observation(s)? (E.g., Should the subject of the observation(s) be aware of the observer and his/her role and function? Should the observer and observed interact; if so, how and to what extent?)

- Observation tells what happened or occurred (or what did not); it does not tell what those events or occurrences mean.
  - At best, observation provides a sampling of selected events over a period of time.
  - The significance of the recorded events or behaviors must be interpreted by the evaluator, often with the assistance of the observer.

- The way the categories of events or behaviors identified for observation are structured influences greatly the inferences that can be made.
  - The more highly structured the categories, the fewer inferences can be drawn. For example, for the category of the "receptionist's greeting of entering clients," an observer would probably note that he/she does greet them if a simple "Hi or Hello" is uttered. However, unless the category is structured to include other appropriate receptionist behaviors (e.g., offering a seat, coffee, or other assistance), it could not be inferred that the receptionist was fully or effectively carrying out that role.
  - Unstructured observation categories do allow for a wide range of inferences that may be desirable under certain circumstances; e.g., the observation of the general climate or flavor of a situation.

- Unstructured observation, however, because it is so dependent on the observer(s) rather than on set procedures or strict categories, often generates serious problems of observer reliability.
  - Human observers do not operate like cameras or tape recorders, taking in all the discrete stimuli within their purview.
  - They have biases, interests, and emotions which can limit, if not actually distort, what they consciously observe.

- Observations are usually written as notes and/or as marks on checklists, or sometimes they are spoken directly into a tape recorder on the spot.

Indirect Program Evaluation

What are the characteristics of indirect program evaluation?

- Indirect program evaluation (often called "unobtrusive measurement") does not require the cooperation of the program participants in collecting the evaluation information.
- Indirect evaluation approaches or methods do not intrude on or interfere with the data-gathering process, and therefore, they do not influence or contaminate the data which is gathered (e.g., counting the number of alcohol information brochures taken from a lobby table in a teen center during a particular period of time).

What are two common approaches to indirect program evaluation?

Using records and observation methods are two of the common approaches to indirect program evaluation.

Records

- Keeping and/or examining records can be identified as one indirect approach to evaluation.
  - For example, records which can be accumulated without involving the program participants in compiling them can be one source of indirect evaluation data. That is, records of who attends scheduled meetings of the program planning groups; newspaper accounts of program activities; the number of people at meetings who come late and/or leave early; etc.
  - Similarly, a great deal of information relevant to an alcoholism services-related program has already been collected by other people for other purposes. Data from other agencies, institutions, and organizations (local, state, and national) can be examined and considered in

relation to data gathered specifically for the program to be evaluated, and therefore, tied to its objectives. For example, if an alcoholism program's objectives include the reduction of car wrecks involving teenagers who had been drinking, the inspection of standard police accident records could provide valuable indirect information.

Observation

What is the role of the observer in an indirect evaluation approach?

- In indirect evaluation, the observer often assumes a passive role.
  - He/she does not participate in whatever is being observed.
- Sometimes in gathering unobtrusive measurements, it is appropriate for the observer to be concealed or not identified as an observer.
  - This must be handled carefully as it may be seen as a violation of program participants' privacy or as a deception.
- Occasionally, the observer is identified as such, but the focus of the observation is misrepresented or incorrectly identified (e.g., saying that the observer is attending to the presenting problems of clients, whereas the true focus of evaluation data is the age, race, or neighborhood, etc. of the clients).
  - Again this must be done cautiously, but its advantage is that the focus of the observation is much less likely to be contaminated or distorted by the observation process.

What are some common indirect indicators used as the focus of observation(s) in indirect evaluation?

- Concrete physical signs, such as clothing, hair, general appearance, jewelry, types of houses lived in by the subject of observation, etc.
- Expressive movement such as nonverbal cues (e.g., nodding, scowling, gestures) that the subject exhibits.
- Physical location as such, how the participants group themselves during formal and informal program events.
- Conversation sampling such as the type and frequency of agreement statements, as well as who makes them on what topics.
- Time duration, or the amount of attention paid by a person to a particular object or activity.

What are some additional cautions about indirect evaluation?

- It is unlikely that the exclusive use of indirect evaluation methods could meet all of the evaluation needs of a community program designed to develop or expand alcoholism-related services.
- It can, however, be particularly useful:
  - when the focus of observation is a sensitive or awkward one; and
  - when there is need or desire for additional or ancillary data that might help to explain or clarify other data.

Program Process Evaluation

When and why is program process evaluation used?

- Process evaluation is used to gather information during the implementation of a program.
  - It collects data on how closely the program is being carried out in relation to its design and schedule.
  - The data on departure(s) from the program design and schedule are used in making decisions regarding modification of the program.

What are some aspects of one major approach in process evaluation?

- Schedule observation is a major technique for doing process evaluation.
- In schedule observation, the main function of the observer is to monitor program events to see whether and to what extent they deviate from the originally planned program.
- The purpose of schedule observation is not to insure adherence to the proposed schedule but to note instances and causes of deviation.

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- This information contributes valuable data for making program revision decisions.

Combining Evaluation Approaches

It is generally acknowledged that the more ways of looking at something, the better the picture of the subject. In a similar way, employing one evaluation approach limits observation of the subject to one perspective. However, if a variety of evaluation approaches is used to examine a program, the information gathered presents a composite view more representative of what is actually happening in the program. It is therefore strongly recommended that an attempt be made to employ some combination of the three approaches described above. It is, of course, unrealistic to attempt to use all of the evaluation techniques listed above. The amount of money, time, and the level of experience brought to the evaluation activity must all be considered.

Observation as an evaluation technique is used in all three approaches. Since it is the most common way to gather evaluation data, particular attention should be paid to the suggested procedures for gathering information using this technique. Advantages and disadvantages of using observation as well as other common evaluation techniques are presented in a table on the following two pages.

Brief Summary of Common Evaluation Techniques

	Techniques	Advantages	Disadvantages	References
INFORMAL EVALUATION	Questionnaire	• greater reliability with closed-ended questions • if anonymous, may encourage honesty and frankness of response • economical in time and money	• low percentage of returns when mailed • structure eliminates possible alternate responses • uniformity of data may be misleading • requires skill to construct properly	Kerlinger, Fred N., *Foundations of Behavioral Research.* New York: Rinehart & Winston, 1966. Selltiz, Claire; Marie Jahoda; Morton Deutsch; W. Cook, *Research Methods in Social Relations.* New York: Holt, Rinehart & Winston, 1959. Thorndike, Robert L. and Elizabeth Hagen, *Measurement and Evaluation in Psychology and Education.* New York: John Wiley & Sons, 1961.
	Interview	• allows flexibility in wording and sequence of questions • provides time to explore, probe area of interest	• time consuming to conduct • information obtained is dependent on skill of interviewer	
	Checklists	• simple format • easily used by untrained personnel	• often limited to specific behaviors, sequence of events, etc. • construction requires care	
	Observation	• provides record of what actually happened or did not happen • independent of the subjects' willingness to respond • observer can relate what is happening to the objectives of the program	• cost in observer time is high • observer may have some degree of impact on situation • must be selective (can only look at a certain number of categories or events) • observers operate from biases	

INDIRECT EVALUATION	Records	• are provided by other sources (less cost) • are often a part of the program or can easily be added • may be permanent	• may be time consuming to search through records (requires selectivity) • a high degree of inference may be required • may violate confidentiality	Webb, Eugene J., Donald T. Campbell, R.D. Schwartz and L. B. Sechrest, *Unobtrusive Measures: Nonreactive Research in the Social Sciences.* Chicago: Rand McNally, 1966.
	Observation	• see Informal Evaluation • appropriate for group situations • avoids or decreases contamination	• should not be used as sole means of evaluation • high degree of inference required • may be viewed as "spying"	
PROCESS EVALUATION	Schedule Observation	• see comments under Informal and Indirect Evaluation • easy to observe • criteria usually readily available as part of program design	• see comments under Informal and Indirect Evaluation • danger of letting the schedule become major criterion	Popham, W. James, *Educational Evaluation.* Englewood Cliffs, New Jersey: Prentice-Hall, 1975.

SESSION ELEVEN
WORKSHEET 1

An Evaluation Readiness Checklist

If you can answer YES to all of the questions listed below then you are sufficiently prepared to initiate evaluation planning for your program. This session focuses on those questions not covered in previous sessions with heavy emphasis on questions 5 and 9.

Directions: Indicate your response to each of the questions listed below by placing a check in the space provided.

Question	Response	
HAVE I DETERMINED:	YES	NO
1. What is being evaluated;		
2. What is the purpose of this evaluation?		
3. What are the program goals?		
4. What are the program objectives?		
5. What kind of program evaluation (i.e., indirect, informal, or process) will yield the most useful data?		
6. How will results of evaluation data be used?		
7. What resources are available for evaluation?		
8. How much time is allowed for the evaluation activity?		
9. Who will conduct the evaluation?		
A) In-house person?	A	
B) Outside evaluation specialist?	B	

Evaluation Planning Sheet One

Directions:

Working individually, study the completed sample for Worksheet 2* on page 132. Then complete Worksheet 2 on page 133 as follows.

1. Under "objective" enter the objective to be evaluated, including measurable terms. (Use an objective developed for your back home problem.)

2. Under "criteria" indicate:

   - source of the information;
   - date on which information will become available concerning the objective; and
   - who will provide the needed data.

3. Under "target completion date" enter the time you anticipate will be required to achieve the stated objective.

4. Under "problem addressed" make explicit the link between this objective and the program needs or problem statement.

5. Evaluation resources may be available in-house or require outside consultant expertise.

6. Indicate yes or no as a response for the objective. Link the objective to the program's overall goals.

7. Enter interim evaluation dates.

8. List interim evaluation measures.

After completing the steps above, ask yourself:

> Is the objective measurable? Is the objective time-limited? Is it realistic, given available resources and program policies?

Then discuss with the group how to overcome problem areas and reformulate a workable objective, if necessary.

*Worksheets 2 and 3 and their accompanying instructions have been adapted from *Fundamentals of Program Evaluation: Trainee's Resource Manual*, developed by the National Drug Abuse Center for Training and Resource Development, 1901 North Moore Street, Arlington, Virginia 22209, 1977.

SESSION ELEVEN
WORKSHEET 2
(SAMPLE)

Sample Evaluation Sheet One

Agency: Ellenburg Alcoholism Treatment Center

Program Goal: To upgrade skills of alcoholism counselors serving clients in this center.

Who Will Use Evaluation Data: Center Director and Training Consultant

Purpose(s) of Evaluation Data: To monitor change in time supervisors report spending in clinical supervision of alcoholism counselors.

(1) Objective	(2) Criteria for measuring objective	(3) Target completion date	(4) Problem addressed	(5) Are the resources available?	(6) Is this objective consistent with program goals/ policies?	(7) Interim evaluation dates	(8) Interim measures
All counselors will receive 50% more clinical supervision time from their clinical supervisors.	50% increase from 6/30/77 as indicated on weekly time sheets of clinical supervisors.	6/30/78	Poor quality of counseling received by clients.	Yes—within capability of present training staff.	Yes	1/30/78	Examination of weekly time sheets.

Evaluation Planning Sheet One

AGENCY:

PROGRAM GOAL:

WHO WILL USE EVALUATION DATA:

PURPOSE(S) OF EVALUATION DATA:

(1) Objective	(2) Criteria for measuring objective	(3) Target completion date	(4) Problem addressed	(5) Are the resources available?	(6) Is this objective consistent with program goals/ policies?	(7) Interim evaluation dates	(8) Interim measures

SESSION ELEVEN
WORKSHEET 2

Evaluation Planning Sheet Two

Directions:

1. Study the sample on this page.
2. On the next page, write a back home goal statement, an objective for it, and mentally identify its strategy.
3. Next enter one or more data collection methods that appear appropriate for the strategy. Keep in mind the purpose of the data in relation to the objective; the type(s) of data you can actually collect; the time required to collect the data; the obtrusiveness of the proposed collection method; etc.
4. Enter the projected outcome (i.e., anticipated result(s) for each measurement method).
5. Finally, state explicitly any assumptions or logical steps that have been implicit until this point.
6. Repeat the process for each objective.

Program Goal Statement: Members of the Arlington clergy will broaden their assistance to people who seek their help for alcohol-related problems.

Objective	Measurement method	Projected outcome	Meaning of outcome in meeting program goal
By 6 months after program implementation, to increase by 50% the number of referrals made by Arlington clergy to 20 service resources that assist alcoholic persons and their families.	a) Questionnaire b) Interviews	a) Indication of how many referrals were made in six-month period and to which service resources. b) The 10% of clergymen who reported the fewest referrals will be interviewed to determine why they did or did not refer people to alcoholism service resources.	a) A determination of whether or not a 50% increase in referrals was accomplished compared with baseline data. b) Whether there is a need for further efforts to encourage clergy members to make additional use of alcoholism service resources and if so, how this might be done.

Evaluation Planning Sheet Two

Program Goal Statement: ____

____

____

Objective	Measurement method	Projected outcome	Meaning of outcome in meeting program goal

SESSION ELEVEN
WORKSHEET 4

Taking Stock of Evaluation Planning

The training program has emphasized repeatedly that the planning process requires—and to a certain extent benefits from—interaction and cooperation with other persons and groups. This, of course, holds for planning and designing the evaluation component activities. Other people who are reasonably familiar with the topic being evaluated frequently bring fresh insights and suggestions. This exercise provides an opportunity for that to occur again in relation to planning evaluation of your back home program.

Directions

1. Select a person to report the small group's problems and questions to the large group.
2. Individually complete Steps 1 and 2 below.
3. Then as a small group work through Step 3, being frank about your questions, contributions, concerns, or uncertainties.
4. Reporter prepares a summary of Step 3 outcomes.

Step 1: Using the space below, rank the evaluation methods for each objective in priority order in terms of *their ability to indicate* whether program goals have or have not been met. Eliminate methods that do *not* provide outcomes that tell you something about the extent to which program goals have been achieved.

Objective 1	**Objective 2**	**Objective 3, etc.**

Step 2: For each evaluation method, identify the potential problems it may pose to the program when implemented. List problem areas.

Objective 1	Objective 2	Objective 3, etc.

Step 3: Do you want to change priorities *or* eliminate any methods? Be careful not to eliminate any methods too quickly. Discuss your assumptions with others before eliminating a method. Are your assumptions realistic? List below your final priorities among program evaluation approaches, techniques, or instruments.

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SESSION ELEVEN
WORKSHEET 4

Step 4: As the reports from each group are made and you receive comments about the concerns, assumptions, etc. from the large group, use this space to make notes about topics or points you may want to follow up on with your evaluation consultant when you are working on the plan for evaluating your back home program.

Evaluation Data

What To Do with the Evaluation Data

The following steps outline a process for arranging collected evaluation data in a way that facilitates interpretation. The process is simple but time consuming. However, the validity of conclusions depends on how accurately these steps are carried out.*

- Each set of the responses from observations, completed questionnaires, interviews, etc. must be examined for patterns among the responses.
- Categories should be identified under which the responses can be summarized.
- Under each category, all the responses made that fit into that category should be listed.
- For each category, the above list should be edited to eliminate duplicate kinds of responses.
- A short summary of the most important items under each category should be prepared.

Some Do's and Don'ts of Evaluation Data Interpretation

Regardless of the quantity and quality of data collected, the value of the information can be completely negated by the way the data are interpreted. The following guidelines will assist in interpreting the information collected.

The Don'ts

- Do not assume that consensus among one group of observers (participants, trainers, administrators, etc.) guarantees accurate judgment.
- Do not conclude that an observation made by only one observer is inaccurate.
- Do not take comments at face value (consider the context in which the comments were made; e.g., body language, time of day, sequence of questions; etc.).
- Do not fail to consider the individual perspective of the observer.

The Do's

- Analyze the summary statements for the various aspects of the pilot program derived from observations. Prepare a brief statement describing their meaning(s) and possible significance.
- Prepare similar descriptive statements based on the summaries of other evaluation techniques, such as questionnaires, tests, interviews, etc. Each evaluation technique should have a summary statement.
- Compare the summary statements from the different evaluation approaches only when they deal with the same aspect of the program. Look for areas of agreement and disagreement. When comparing data in this manner the evaluator should be sensitive to such things as differences in nuances of language as well as the various perspectives of the respondents.
- State conclusions in a concise, straightforward manner.
- Prepare a draft of recommendations.

*You may wish to review the reference information on assessment in Sessions Three, Four, and Five.

SESSION ELEVEN
REFERENCE INFORMATION

Use of an Outside Evaluation Consultant

When deciding who should be responsible for implementing the evaluation design for a program or project, consider the following possibilities:

	Possible Advantages	Possible Disadvantages
In-house Person	1. Cost may be lower.	1. Lack of objectivity.
	2. Can be involved in early planning of evaluation as an ongoing activity.	2. May not have skills needed for instrument design or statistical analysis.
	3. May have awareness and understanding of program goals.	3. May not have credibility with superiors or peers.
	4. Has knowledge of how program functions.	4. Evaluation may be one of many responsibilities.
Outside Evaluation	1. Should have broad range of skills in instrument design, evaluation design, and report writing.	1. May not have awareness and understanding of program goals.
	2. Must have credibility.	2. May not have knowledge of program functions.
	3. Can maintain neutrality or objectivity.	3. May not be involved in early planning of evaluation.
	4. Could consult in-house person on evaluation.	4. Cost may be higher.

Objectivity/Planning Suggestions for Evaluation Methods

Objectivity

Probably there is no such thing as totally objective evaluation. Even the use of an outside evaluator does not guarantee absolute objectivity. All evaluators bring their own sets of biases about how to treat evaluation data. The following steps are suggestions that may help increase the objectivity of the evaluation effort regardless of who carries out the evaluation.

- Evaluators should review their own attitudes and biases which might influence their interpretation of the evaluation data.
  - This is particularly important for persons who will be evaluating programs in the alcoholism field.
- Whenever possible, the appropriateness of data-gathering evaluation instruments should be examined by others involved in planning the program.
- An overview of the program should be maintained and reviewed periodically so that all of the program elements are seen as part of an integrated system.
  - It is surprisingly easy—even when striving for objectivity—to become so engrossed in one program element that the total picture is obscured.
- The focus of evaluation efforts must be on important details rather than inconsequential ones.

Planning Suggestions for Evaluation Methods

The effectiveness of the evaluation of any proposed program can be enhanced by observing the following suggestions when planning the *evaluation methods* to be used.

- The purposes of the evaluation efforts as well as how the results of the evaluation effort will be used should be made explicit to *everyone* involved in the program.
- As the details of the program are worked out, the evaluation consultant should be sure to include:
  - the design and construction of any data collection instruments to be used;
  - instructions that clarify and describe the specific procedures to be followed; and
  - a schedule for the observations, surveys, interviews, or tests to be administered.
- Individuals who are to use any of the data-gathering instruments should be trained in the principles and techniques of evaluation relevant to the particular method or instrument.

After the decision has been made to employ an outside evaluation consultant what must be done?

- Two necessary functions for the program personnel are:
  - to make certain that the program is prepared for evaluation (e.g., apply the Evaluation Readiness Checklist); and
  - to brief or orient the evaluation consultant.
- Preliminary activities for doing these include:
  - making specific and detailed listings of the program elements to be evaluated;
  - specification of program complexity to be used in defining the area(s) of expertise needed by the evaluation; and
  - briefing of key program personnel to ensure their cooperation in evaluation activities.

What information will an evaluation consultant need from program personnel?

- To provide thorough and effective evaluation assistance, the evaluation specialist needs:
  - a clear definition of what is to be evaluated, including a review of the proposed evaluation methodologies, approaches, etc.;
  - a set of timelines for deliverable items such as instruments, reports, etc.; and
  - information about areas in which conflicts of interest might exist between some program personnel and the evaluation objectives.

What other matters must program personnel attend to?

- After evaluation activities are underway, the person(s) responsible for directing the program should:
  - be sure that communication channels are established and used (e.g., periodic progress reports, the exchange of comments, criticisms, and recommendations);
  - make certain that all evaluation expenditures are cleared with the proper authorities; and
  - help the evaluation consultant resolve whatever unanticipated problems may arise.

SESSION NOTES:

Session XII

Completion of Preliminary Plan for Back-Home Problem

Synopsis: After a brief summarizing discussion of the planning process, participants will work individually on their preliminary plans for their back home problems, with a final opportunity to ask for assistance from the trainers. They will then discuss their planning problems as a group and identify a helping network for future contacts.

Objective: Participants will:

- complete their preliminary or partial plans for attacking their back home problems.

Reference Information: Time-Phased
Action Plan Reminders 144

Time-Phased Action Plan Reminders

NOTE: It will be helpful to use consistently the checklists and techniques provided in the training program as you build your planning skills, so that no important step or detail is overlooked. It will also be advantageous to develop a review relationship with someone in your agency who can critique your efforts in the way that your dyad partner did during training. The following reminders provide only an outline of what is to be done in developing a time-phased action plan.

Stating the Problem and the Program Goal(s)

- State the problem selected for action, and the program goals developed to address it.
  - This helps to keep the starting point and general direction(s) in mind as details receive more and more attention.

Stating Objectives for Each Program Goal

- Knowing the specificities of the objectives is absolutely essential for designing the program, implementing, and evaluating it.
- Limit work on writing each objective to 10 minutes, to avoid getting bogged down in indecision or too many details.
  - Check specifically for the four characteristics of a program objective: identification of target group, the intended result, measurable terms, and time reference.
  - Rewrite as needed.
- Be realistic about reaching the goal—even at this point.
  - Think small and precise rather than grand and global.
- Rewrite objectives if subsequent planning activities reveal the need to do so, e.g.,
  - Increase time.
  - Reduce the number of events, clients, etc.

Brainstorming Possible Strategies

- Work with your planning group to brainstorm possible strategies for each objective.
  - Limit brainstorming activity on each objective to three minutes.
  - Make no judgments at this point.
- Apply quality criteria to each strategy listed:
  - completeness;
  - flexibility;
  - simplicity;
  - explicitness.
- Discard or rephrase unacceptable strategies for each objective.

Strategy Selection

- For all acceptable strategies for *each* objective:
  - list direct and indirect consequences;
  - determine negative and positive influences;
  - weight the importance of the influences.
- Select the most promising strategy(s) for each objective.

Community Resource Inventory

- For each strategy selected:
  - identify the basic resources needed; e.g., facilities, equipment, supplies, personnel, money, other; and
  - determine whether they are on hand, to be mobilized, or not available.

Activity Identification and Organization

- For each strategy identify the major activities required to carry it out.
  - List the activities as they come to mind.
  - When no more activities come to mind, number them in order of probable occurrence making certain that each is a separate activity rather than a portion of another activity.

Identification and Organization of Tasks and "Doers"

- For each major activity identify exactly what must be done to complete each activity.

  - List the tasks as they are thought of.
  - When no more tasks can be called to mind, number them according to their necessary or probable occurrence in completing the activity.
- Identify who will be responsible for doing each task.
- Review the activities and tasks listed to see whether modifications should be made in the community resources inventory.
  - If necessary, modify the inventory.

Time-Phased Action Plan

- Using the training program materials and experiences as starting points, design a format to show when each task is to begin and end.
- Consider
  - whether your time-phased action plan or some part of it should display weeks or days rather than months; and
  - whether some complicated task should be broken down into its subtasks for adequate allocation of time and "doers."

Appendix A: Annotated Bibliography

General References: Books

Cross, Jay N. *Guide to the Community Control of Alcoholism.* New York: American Public Health Association, 1968. (128 pages)

Intended to aid the professional health worker at the local level in developing a community alcoholism program. Principles of program development are discussed, rather than specific services and activities. The first two sections deal with social, physiological, and psychological aspects of drinking and provide a general discussion of the problem of alcoholism. Part Three, "Alcoholism Program Development," presents planning principles in terms of organizational considerations, goals and objectives, resources and services, community perspective, roles of agencies and organizations, prevention planning, financing, staffing, and program components. A brief bibliography is included.

Harper, Ernest B., and Dunham, Arthur, eds. *Community Organization in Action.* New York: Association Press, 1959. (532 pages)

Designed primarily for students of social work, this collection of readings includes experiences, methods, and principles that can be useful to any community planner. Selections on group behavior, group dynamics, and committees on conflict and integration, community structure and relationships, and the role of national voluntary organizations in community programming are included. Part Three, "Community Organization in Practice," which includes articles on general methods, fact finding, planning, conferences and committees, education, interpretation and public relations, fund raising, and social action and recording may be of the most interest to the community programmer.

Kahn, Alfred J. *Studies in Social Policy and Planning.* New York: Russell Sage Foundation, 1969. (326 pages)

In this companion volume to *Theory and Practice of Social Planning*, the author is particularly concerned with "the demonstration through use of a number of critical planning concepts often discussed only in the abstract." Problems discussed include the "War Against Poverty," juvenile problems, income security, city planning, community psychiatry, and delivery of social service at a local level. Alcohol problems and programs are not specifically discussed.

Kahn, Alfred J. *Theory and Practice of Social Planning.* New York: Russell Sage Foundation, 1969. (348 pages)

Presented as a model for "how to think about planning issues," this book is a broad development of social planning, defined by the author as "policy choice and programming in the light of facts, projections and applications of values." The planning process is presented in terms of definition of the planning task, policy formulation, programming, and evaluation and feedback. Within this framework, all of the broad social planning issues are discussed, and the dynamic nature of the planning process is emphasized. The three chapters on programming may be the most useful. Topics comprise general considerations, budgeting and cost effectiveness, and programming problems in social service delivery.

National Institute on Alcohol Abuse and Alcoholism. *Developing Community Services for Alcoholics: Some Beginning Principles.* Rockville: Maryland: NIAAA (DHEW), 1971. For sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, DHEW Publication No. (ADM) 75-175. Price: 85 cents. (39 pages)

Proposes the formation of a network of community services for alcoholics and their families constructed primarily of existing service resources within the community, with a recognition of the likeness of alcoholism to other health and social problems. The nature of the problem of alcoholism is discussed briefly, in terms of the alcoholic, public attitudes towards alcoholism, treatment approaches, and the need for comprehensive community services. Elements of effective service delivery and guidelines for organizing community resources are given, and the importance of evaluation to program development is discussed. A brief annotated bibliography is included.

Robbins, David. *Comprehensive Health Planning: Selective Readings.* New York: Health Insurance Institute, 1969. (48 pages)

An annotated bibliography organized under the following topics:

- Comprehensive community planning
- Planning theory and techniques
- Health services planning
- Health manpower planning
- Environmental health planning

Warren, Ronald Leslie. *Studying Your Community.* New York: Russell Sage Foundation, 1955. (362 pages)

A comprehensive guide to studying almost all aspects of a community. Areas discussed include community background and setting; economic life; government; politics; law enforcement; community planning; housing; recreation; religious activities; social insurance and public assistance; aids to family living and child welfare; health; provisions for special groups; communication; intergroup relationships; associations and community organizations. The final chapters are devoted to discussion of organizing and conducting a community survey and a summary of important aspects of the community to be considered in such an endeavor.

Wynne, Ronald D., et al. *A Guide to Community Action for Alcoholism Services.* Final report to the National Institute on Alcohol Abuse and Alcoholism, September 1975.* (191 pages plus appendices)

Intended for individuals recently involved with the alcoholism problem in their communities and for those in a direct service role who want to expand to address larger issues and problems. The authors distinguish between "community organization" and "social planning," which is treated in a companion volume. Part I provides an introduction, historical overview, and discussion of community response to organizations for alcoholism services, organizer role, community mobilization, and common problems and suggested solutions in community organization. Part II comprises several case studies and Part III is a "workbook" and annotated bibliography.

Wynne, Ronald D., et al. *The "State of the Art" in Community Planning for Alcoholism Services.* Final report to National Institute on Alcohol Abuse and Alcoholism, September 1975.* (321 pages)

A review of the issues that confront social planners in the alcohol field, a "look at the types of formal documents available, at who develops them, and what methods they use to achieve their objectives." In Part I, Section I describes the structure of the planning effort and includes a summary of training available for alcoholism planners. Section II describes the planning process, from needs assessment to evaluation. Section III discusses six major issues and trends in the alcoholism field of concern to planners. Part II presents four case studies to demonstrate a number of planning approaches. Part III is a bibliography, including annotations of 80 major references.

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*A limited number of reprints are available from Wynne & Associates, 3915 Livingston St., N.W., Washington, D.C. 20015.

General References: Periodicals

Beigel, A.; Hunter, E.; Tamerin, J.; Chapin, E.; and Lowery, M. Planning for the Development of Comprehensive Alcoholism Services: I: The Prevalence Survey. *American Journal of Psychiatry.* 131 (1974) 1112-16.

The authors emphasize the need for prevalence data in the specific community when planning a comprehensive community alcoholism program and describe a short-term, low-cost survey method, together with examples of how the data obtained can be used in program planning.

Beigel, A.; McCabe, T.; Tamerin, J.; Lowery, M.; Chapin, E.; and Hunter, E. Planning for the Development of Comprehensive Alcoholism Services: II: Assessing Community Awareness and Attitudes. *American Journal of Psychiatry.* 131 (1974) 1116-21.

The authors suggest that the following dimensions need to be assessed in the development of an effective community education and treatment program: (1) attitudes toward alcohol use and abuse; (2) drinking habits; (3) awareness of available resources for alcoholics; (4) extent of personal drinking problems; and (5) comparative perceptions of alcohol abuse in different ethnic groups. The procedure they have used to make these assessments is described and examples of how data gathered can be used in the planning process are presented.

Beigel, Allan. Planning for the Development of Comprehensive Community Alcoholism Services: Organizational Approaches. *Journal of Drug Issues.* 4 (1974) 142-48.

This paper, third in a series on alcoholism planning, presents advantages and disadvantages of four different approaches to organization of comprehensive community-based alcoholism services: (1) the "governmental approach"; (2) the "single community agency approach"; (3) the "consortium approach"; and (4) the "for profit approach." A discussion of "certain substantive issues that transcend any and all of these organizational approaches" includes the composition of community boards, an effective combination of traditional versus nontraditional treatment approaches; adequate program planning; arrangements for continuity of care; and stability of funding resources.

Holder, L., and Deniston, O. A Decision Making Approach to Comprehensive Health Planning, *Public Health Reports.* 83 (1968) 559-68

The authors offer a definition of planning, suggest ways of looking at health planning objectives, attempt to differentiate among forms and methods employed in health planning, and summarize some of their experiences in working with 21 communities throughout the Nation through the National Commission on Community Services' Community Action Studies Project (CASP). Several themes that became apparent from the CASP study are discussed:

1. No single agency or group has domain over the health needs of a community.
2. Health is a total community affair.
3. Local, State, and national bodies must work as "partners in progress."
4. A coordinated approach transcending traditional geographic and political boundaries may be needed.
5. Regional action planning is a prerequisite to development of community health services.
6. The health issue is intertwined with other community issues (economic development, education, transportation, etc.).

Selig, Andrew L. Program Planning Evaluation and the Problem of Alcoholism. *American Journal of Public Health.* 65 (1975) 72-75.

Briefly describes eight steps or functions in the program planning process: (1) value orientation; (2) problem identification; (3) goal setting; (4) goal measuring criteria; (5) program planning; (6) program implementation; (7) assessment; and (8) feedback. A case study is discussed briefly to illustrate the application of the first five steps.

Evaluation References: Books

Abrams, L. Annette; Garfield, Emily F.; and Swisher, John D. *Accountability in Drug Education: A Model for Evaluation.* Washington, D.C.: Drug Abuse Council, 1973.

First in a series of handbooks providing practical methodological guidance for drug program planners and administrators. The manual gives step-by-step explanations of the processes involved in planning and assessing program effectiveness, keyed to the reader's level of involvement.

Babbie, Earl R. *Survey Research Methods.* Belmont, California: Wadsworth Publishing Company, Inc., 1973.

A basic text for those interested in designing and using a survey as part of their evaluation effort. A practical text that combines the theory behind survey research with examples of how to design the survey instrument, collect and analyze the data, as well as how to report the findings.

Bloom, B. The evaluation of primary prevention programs. In: *Comprehensive Mental Health: The Challenge of Evaluation.* Roberts, Leigh M., et al., (eds.). Madison: University of Wisconsin Press. 1968

Good suggestions for evaluating; includes caveats and pitfalls.

Campbell, Donald, and Stanley, Julian. *Experimental and Quasi-Experimental Designs for Research.* Chicago: Rand McNally, 1963.

A pioneering work and basic text for evaluators and researchers.

Chabotar, Kent J., and Lad, Lawrence J. *Evaluation Guidelines for Training Programs.* East Lansing: Michigan State University. 1974.

The table of contents of this comprehensive work is structured in such a way so as to guide the user to those sections which pertain to the particular evaluation questions the user wants answered. The text covers such areas as why and what to evaluate, the criteria for effective evaluation, research design, evaluation measures, and data analyses.

Available from School of Public and Environmental Affairs, Indiana University, 400 East 7th Street, Room 313, Bloomington, Indiana 47401. $10.00.

Harnett, Carolyn. Drug program evaluation—a primer. *Grassroots Supplement.* Madison, Wisconsin: STASH Press, 1974.

An outline of methods of evaluation. Covers the reasons for doing an evaluation, when, how, and who should evaluate.

National Drug Abuse Center for Training and Resource Development. *Fundamentals of Program Evaluation: Trainee's Resource Manual.* Arlington, Virginia: National Drug Abuse Center for Training and Resource Development, 1977.

The manual allows the reader to work through a basic systems approach to program evaluation. The manual is divided into modules each of which focuses on one component of the system such as goal statements, program objectives, and evaluation design. By completing a series of worksheets for each module, the reader applies the information presented to her or her own program. Extensive reference materials on evaluation are provided in the following areas: training, treatment, prevention, and management information systems.

Available from the publisher at 1901 North Moore Street, Arlington, Virginia 22209.

Popham, W. James. *Educational Evaluation.* Englewood Cliffs, N.J.: Prentice-Hall, 1975.

While focusing on education, the evaluation techniques discussed are applicable to a wide variety of social action programs. The author concisely and clearly presents the major evaluation issues, concepts, and techniques as they have developed over the past ten years. Numerous examples make this a highly usable book.

Rossi, Peter H., and Williams, Walter, (eds.). *Evaluating Social Programs: Theory Practice and Politics.* New York: Seminar Press, 1972.

The material is organized under the three headings listed in the title. The book should be of particular interest to program directors or managers who may be setting up or participating in a large scale evaluation research project.

Tripodi, Tony; Fellin, Phillip; and Epstein, Irwin. *Social Program Evaluation Guidelines for Health, Education, and Welfare Administrators.* Itasca, Illinois: F. E. Peacock Publishers, Inc., 1971.

Good for beginners. Very clear and concise.

Weiss, Carol H. *Evaluation Research Methods for Assessing Program Effectiveness.* Englewood Cliffs, N.J.: Prentice-Hall, 1972.

Presents a new methodological approach to evaluative research that increases the testability of assumptions that primary prevention is cost-effective.

Zusman, Jack, and Wurster, Cecil R. (eds.). *Program Evaluation: Alcohol, Drug Abuse, and Mental Health Services.* Lexington, Massachusetts: D.C. Heath and Company, 1975.

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Trainer Requirements:

Both training skills and first hand experience with or knowledge of program development in the alcohol field are requisites for conducting this course. The training skills required include expertise in setting up and managing training events and skill in managing group dynamics and moderating group discussion. Experience in the development of alcohol service programs is important in leading group discussions. It is recommended that two trainers cooperate in presenting this course, perhaps combining the above mentioned skills between them.

Content:

Session One: Introduction and Welcome
Session Two: Planning and Community Involvement
Session Three: Assessment: Stating the Problem
Session Four: Assessment: Collecting Data About the Problem
Session Five: Assessment: Analyzing the Data for Decisions
Session Six: Program Design: Setting Goals
Session Seven: Program Design: Specification of Objectives
Session Eight: Program Design: Choosing a Strategy
Session Nine: Program Design: Time-Phased Action Plan
Session Ten: Implementation: Program Management and Coordination
Session Eleven: Program Evaluation
Session Twelve: Completion of Preliminary Plan for Back Home Problem

Methodology:

Small large group discussions, individual and small group work, trainer presentations, individual reading.

Time Requirements:

Approximately 30 hours plus breaks. Sessions vary in length from about 1 to 2 1/2 hours.